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A New Symphonism: Linearity, Modulation, and Virtual Agency in Prokofiev's War Symphonies

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Abstract

A New Symphonism: Linearity, Modulation, and Virtual Agency in Prokofiev's War Symphonies

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One of the most exciting aspects of Prokofiev's music emerges in his distantly-related yet smoothly articulated modulations. One reason these quick key changes still sound coherent pertains to stepwise melodic gestures that operate in the foreground or middleground. In addition to spanning two harmonic realms, these lines may also bridge different degrees of tonal stability and instability. In the first two chapters, I trace the function of these lines in Prokofiev's Fifth and Sixth Symphonies, often grouped together as the War Symphonies, since they were composed either during or in reaction to World War II.

In the subsequent chapters, I draw on Robert Hatten's framework regarding virtual agency and Steve Larson's research on musical forces to explain the experiential aspects of these lines. In chapter 3, I discuss how musical forces use metaphors for the actual, physical forces we encounter as humans in order to explain how we may interpret a melody moving in a virtual, musical environment. We may also attribute human-like

characteristics to this musical motion, such as a sense of striving associated with an ascending melodic line, or relenting for a descending one. In chapter 4, simultaneous lines, appearing as contrapuntal wedges, often push outward towards a generalized musical goal, such as a cadence, and allow for the inference of fictionalized overcoming or a failure to achieve. Chapter 5 points inward towards a given work's dialogue between thematic variations and the emerging virtual subjectivity we may infer from the fictionalized narratives of linear structures.

In the final chapter, I contextualize linear virtual agency within Boris Asafiev's concept of symphonism, a processual approach to form that foregrounds this dialogue based on thematic variation. I argue that his more energeticist, discursive, and dramatic formal emphases highlight ways in which Prokofiev adapted his music to the political demands of the Stalin-era Soviet Union. I conclude with a new approach to formal analysis in the third movement from the Fifth Symphony, showing how Prokofiev invoked common-practice sonata form while formulating his own approach to the emerging genre of the Soviet Symphony.

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Chapter 1 - A New Theory of Symphonism: Agency and Linearity in Prokofiev's War Symphonies

After almost two decades as a Russian émigré, Prokofiev made what is broadly considered a personal mistake but also a qualified, professional triumph by permanently returning to the Soviet Union in 1936. While he would compose a number of successful works and enjoy a professional status among the greatest composers in Russian history, he would also suffer from decreased creative control, increasingly poor health, and domestic estrangement. This final, "Soviet-era" period of Prokofiev's career, however troubled, encompasses the composition of many famous and still-celebrated works, such as the Fifth Symphony (1940-1944), the Seventh Piano Sonata (1942), the Flute Sonata (1943), and the Cello Sonata (1949) among others.

This period also marks a stylistic change in his works from those before 1936. He retains the surprising chromatic shifts that define his earlier works, "but his traditional tonal foundations would become more explicit" (Morrison 2009, 25). Describing works from this era, Richard Taruskin admires Prokofiev's "way with modulation [as] without peer, as innovative as the work of more obvious modernists of the twentieth century—and totally intelligible to the ear's mind, as theirs, so often, is not" (237). Elliott Antokoletz points to Prokofiev's Soviet works as evidence of "decisive changes toward simplicity," having "a prevailingly lyrical Romantic quality, often of a soaring, national, epic character" (255). He goes on to mirror Morrison's reconciliatory tone, noting a change during the 1930's when Prokofiev's more dissonant, experimental works are now met with "more distinct classical formal schemes with lyrical and

folk-like melodies, clear textures" and "greater tonal clarity through more decisive cadential resolutions" (256).

Reasons for this stylistic shift and for Prokofiev's return to the Soviet Union have received a great deal of attention due to the recent availability of once-confidential archives.[1] While Prokofiev rarely divulged details regarding his own compositional approach, the political and personal contexts surrounding this era more than likely impacted his career. In the following introductory chapter, I give a brief exposition of the events leading up to his return to the USSR. I then review the ongoing discussion regarding the effect of the official doctrine of Socialist Realism in this final period of his life in order to better define his "Soviet style."

Finally, I explain in greater detail just what constitutes this Soviet style within the two works I focus on in this dissertation—the Fifth and Sixth Symphonies—as both Soviet-era symphonic works and as symphonies in the epic Austro-German symphonic genre. I focus on these two works because they are often grouped together as his "War Symphonies," written during and immediately after World War II. I conclude by outlining the analytical approaches I incorporate in the following chapters. My goal is to explain how we, as non-Soviet listeners, may find specific insight into Prokofiev's Soviet-era symphonic works through linear analysis, virtual agency, and Asafiev's aesthetic doctrine of symphonism.

PROKOFIEV'S RETURN TO THE USSR

An effort to convince émigrés to return to the USSR began in 1925, when Anatoly Lunacharsky, the People's Commissar for Enlightenment, convinced Stalin to allow a number of Russian composers abroad to return or at least freely visit the USSR. Only Prokofiev responded

[1] see Morrison 2009 and Taruskin 2009.

positively, which launched a ten-year effort to persuade him to move permanently. Simon Morrison's recent biography on this later, Soviet era of Prokofiev's career offers two main reasons for the prolonged delays in his return: overzealous criticisms of his work by the Russian Association or Proletarian Musicians (RAPM) and correspondence from Russian acquaintances relaying accounts of "people being taken away from work, committing suicide, and disappearing into thin air, no questions asked" (11). While Prokofiev never explicitly mentions these issues of Stalin's political purges, Morrison suggests that they could not have helped efforts to persuade him to relocate. However, Richard Taruskin notes Prokofiev's "naïve or megalomaniacal conviction that the force reducing lives to rubble wherever he looked would never touch him" (Taruskin 2009, 239). In either case, once the RAPM was liquidated and replaced with the bureaucracies of the Union of Soviet Composers and the All-Union Committee on Arts Affairs in 1932, "the cultural climate seemed to moderate" and it was easier even for "estranged and disgraced artists" to have their works performed. It was sometime soon after this event that Prokofiev "resolved to establish an authoritative presence in Soviet music" (Morrison 2009, 13).

It is also likely that Prokofiev came back to the USSR because he was tired of competing with Stravinsky in Paris (Morrison 2009, 31, and Taruskin 2009, 241-242) and because Moscow threatened not only to rescind his ability to return at all, but also to revoke five outstanding commissions (Morrison 31). Prokofiev was misled by the promise that he would remain exempt from the same political pressures placed on other Soviet artists at the time (Taruskin 242). Indeed, the infamous 1936 Pravda article condemning Shostakovich's opera, *Lady Macbeth of the Mtsensk District*, failed to deter Prokofiev; he believed that because it left Shostakovich "under a cloud," Prokofiev would emerge as the preeminent Soviet composer (Morrison 2009, 40-41).

PROKOFIEV AND THE DOCTRINE OF SOCIALIST REALISM

Even during his career in the West, Prokofiev still perceived his ultimate role as Russia's "lodestar of musical progress, improving and upholding standards in a fertile musical culture" (Morrison 24). Prokofiev insisted he knew what was best for contemporaneous Soviet music, even in the wake of Stalin's artistic control and the doctrine of Socialist Realism. This aesthetic doctrine has been examined by numerous twentieth-century Soviet music scholars. The Union of Soviet Composers applied the doctrine to music somewhat more clearly than the 1934 Congress of Soviet Writers applied it to literature:

> The main attention of the Soviet composer must be directed towards the victorious progressive principles of reality, towards all that is heroic, bright, and beautiful. This distinguishes the spiritual world of Soviet man and must be embodied in musical images full of beauty and strength. Socialist Realism demands an implacable struggle against folk-negating modernistic directions that are typical of the decay of contemporary bourgeois art, against subservience and servility towards modern bourgeois culture.[2]

Even so, this vaguely-defined nationalistic outlook did little to tell Soviet composers how a Socialist Realist melody should sound, what a harmonic progression should look like if it were to embody "musical images full of beauty and strength," or how the overall form of a work should function to represent "all that is heroic, bright, and beautiful." Pauline Fairclough's work on Shostakovich's Fourth Symphony offers a helpful clarification: "The official definition of socialist realism was printed in Pravda before the discussion [by the Congress of Soviet Writers] even started: 'Socialist realism, the basic method of Soviet artistic literature and literary criticism, demands truthfulness from the artist and a historically concrete portrayal of reality in

[2] from "Statutes of Composers' Union," quoted in "Sotsialisticheskii Realism," *Entsikopedickeskii Muzykal'nyi Slovar,* Eds. B. Steinpress and I. Yampolski, (2nd ed., Moscow, 1966), as cited in Schwarz, *Music and Musical Life in Soviet Russia* 1972 and Antokoletz 2014.

its revolutionary development."[3] Fairclough, along with Morrison, point out that this sense of reality "is not the flawed reality of the present, but the perfect reality of the future, the existence guaranteed by historical movement" (Morrison 87).

Fairclough argues that these "definitions" of Socialist Realism are ultimately attempts to mask an assertion of political power. This artistic doctrine, "as a coherent aesthetic…has long been discredited, and justly so. It was essentially a demand for art to function as propaganda, justified by the assertion that such art would play a vital role in bringing about the socialist utopia allegedly under construction" (Fairclough 2006, 14). However, she adds that this does not necessarily invalidate our attempts to explain what this political pressure meant for Stalin-era Soviet works.

In fact, Fairclough uses emerging trends among works that met with official success, and those that did not, to propose a few general guidelines for what it took to compose a Socialist-Realist work. Still somewhat vague, but perhaps a strong guiding principle, is the idea that "its musical language should be both technically sophisticated and comprehensible to everyone." Second, "it should be conceived on an epic philosophical scale," perhaps involving a program, but it should not "fall into the trap of sound effects or glib musical images." In this manner, it might "chronicle Soviet reality" in diverse ways, but more specifically, it should develop its themes right away (within the exposition), such that repeating them in the recapitulation seems redundant (and indeed, recapitulations will appear rather truncated, or will present something new) (34). The melodies themselves should "feature straightforward 'positive' themes, both fast and slow, generally developed separately, and 'positive' major-key finales." Finally, Fairclough notes that successful Soviet works of the time featured loud, climactic, bombastic endings (42).

[3] Fairclough 2006, 14, citing Jeffrey Brooks, "Socialist Realism in *Pravda*: Read All About It!", *Slavic Review*, 53, 1994, 977.

Even with respect to these characteristics, however, the enforcement of the doctrine of Soviet Realism was inconsistent during the 1930's and 40's, and its influence depended on the intensity of USSR's role in the events leading up to and after World War II (Boterbloem 2004, 212). There was little to suggest what an ideally Soviet work should sound like, and that ideal had to be inferred negatively from the ad hoc bans placed on numerous works throughout the Stalin era.

PROKOFIEV'S EMERGING SOVIET STYLE

Somewhat free from these pressures while in France (he was always concerned with the success of his works in Russia), and even while living within them after his return to the USSR in 1936, Prokofiev believed his works represented the best path forward for Soviet music, not the official policy of Socialist Realism. Morrison argues that Prokofiev was agreeable to writing music for the masses, but "averse toward the notion that music should be oriented toward accessibility." He criticized the "cultural policy" of Soviet Realism, "which remained, in his opinion, condescending to its intended audience" and "antithetical to the actual labor of music making" (2009, 112).

Prokofiev argued that this new artistic direction could lead to works that were accessible to audiences, but listeners still needed to put forth an effort to grasp that which would ultimately prove rewarding. Prokofiev first proposed what he called "new simplicity" in 1934, in an article entitled "The Paths of Soviet Music":

"…the type of music needed is what one might call 'light serious' or 'serious-light' music … it should be primarily melodious, and the melody should be clear and simple without however becoming repetitive or trivial … the same applies to the technique, the form – it too must be clear and simple, but not stereotyped. It is not the old simplicity that is needed, but a new kind of simplicity. And this can be achieved only after the composer has mastered the art of composing

serious, significant music, thereby acquiring the technique of expressing himself in simple, yet original terms."[4]

This definition also offers few specifics, but a brief examination of the first version of his Fourth Symphony, which premiered in 1930 and would be the last symphony he would write until 1940, offers some insight into what the "new simplicity" might have meant for his music. Table 1.1 below lists the "melodious" characteristics of this work's final movement: primary and subordinate themes articulate theme-and-variation structures and the use of functional harmony appeal to "accessibility." Diatonic pitch structures also allow Prokofiev to construct thematic phrases analogous to those of the classical period by way of the minor subdominant, thereby replacing a tonic-dominant configuration, but still maintaining an antecedent-consequent phrase structure complete with an analogue to a half-cadence. Also, a quasi-sonata design with key areas related by chromatic mediants lends a somewhat traditional format to the Finale.

Under the term "originality," Figure 1.1 also highlights those characteristics which differ from the classical-era ideals outlined in the opposite column. These features result in a sense of formal-functional ambiguity regarding the immediate variation of themes, the incorporation of the introduction and transition passages into thematic zones, a common thematic trajectory which begins diatonically and progresses towards more chromaticism and "wrong" notes, and the addition of a monumental 84-measure coda that disrupts the form's expected closure.

This final symphonic movement that Prokofiev would write for over a decade reflects aspects of his "new simplicity" by exhibiting classical traits in a new way.

[4] Quoted in Semyon Shlifstein, ed.: *S. Prokofiev: Autobiography, Articles, Reminiscences*, trans. Rosa Prokofieva (Moscow: Foreign Languages Publishing House, 1956), 99 – 100; and David Nice, *Prokofiev: From Russia to the West 1891 – 1935*, 320-21.

accessibility (Prokofiev's "melodious" aspect)	**originality (avoidance of "trivial repetition")**
primary and subordinate themes articulated as theme & variation structures	varied as opposed to exact thematic repetition
(nearly) tonal nature of thematic material and harmonic language	the incorporation of the introduction and transition in the primary and subordinate themes
period phrase structure analogue by way of minor subdominant relationships	a common thematic trajectory which begins diatonically and progresses towards more chromaticism and "wrong" notes
quasi-sonata design with key areas related by chromatic mediants	a massive coda interrupting the recapitulation's confirmation of the tonic

Table 1.1: The accessible and original aspects of "new simplicity" in the finale of Op. 47

Specifically, altered thematic designs such as theme-and-variations and expanded periodic phrase structures, articulated within a quasi-tonal harmonic language in modified sonata design, commit neither to a "trivial" replication of eighteenth century musical norms nor to the avant-garde of early twentieth century musical modernism in Europe or Russia.

Many of these features resurface in the War Symphonies, but not all. The Fifth Symphony's outer movements, both in sonata form, feature traditional fifth-based modulations to the secondary theme. All three of the Sixth Symphony's movements outline a sonata form, but the only one displaying a third-based modulation for the secondary theme, instead of the traditional fifth-based one, is the finale (from Eb major for the primary theme to C major for the S-theme). While codas in the outer movements of the Fifth & Sixth Symphonies may be bombastic and somewhat lengthy, they do not reach the massive proportions of the Fourth Symphony's finale, which took up a third of that entire movement. Perhaps the most substantial

difference between the Fourth Symphony and the Fifth and Sixth pertains to the relationship between the main themes, their subsequent variation, and the rest of the symphony as a whole.

David Fanning's 1995 essay on the Soviet-era symphony speaks to this last component of the shift between Prokofiev's Fourth Symphony (Op. 47), which is often grouped together with the Third Symphony (Op. 44, written just before the Fourth in 1928), and his Soviet-era symphonic works. The Third & Fourth Symphonies both incorporate material from cancelled ballet productions (*The Fiery Angel* and *The Prodigal Son*, respectively). Using previously composed material helped him construct notable symphonic works because the material was already "musically self-sufficient," but the two symphonies had limited success because the "themes and paragraphs…tend[ed] to remain on separate terraces, sometimes quite artfully abridged, but not transformed into something more than the sum of their parts. To a certain extent this is a problem endemic in the entire Russian symphonic tradition" (Fanning, 2006, 302).

The Fifth Symphony, however, received a much more enthusiastic response from official critics and remains one of his most popular works. Prokofiev, Fanning argues, did not necessarily overcome the Third & Fourth Symphonies' problems "by de-emphasizing the balletic and highlighting the lyrical," but rather by conceiving both the Fifth and Sixth "as symphonies from the roots up" (302). Antokoletz echoes this argument, proposing that the difference between Prokofiev's Soviet-era symphonies and the earlier ones (Symphonies 1-4) is "the direct influence of Soviet artistic policy on his aesthetic and stylistic development. His tendency toward greater structural clarity, simplification, and integration of the thematic content became completely evident in the Fifth Symphony...whereas the Fourth Symphony (1930), composed prior to his return to the Soviet Union, lacked the epic quality and organic formal integration

found in the later symphony" (256). The following chapters, especially chapters 5 and 6, help explain what this "thematic integration" and organicism means for the War Symphonies, especially in the context of Boris Asafiev's conception of symphonism. The second movement from the Sixth Symphony stands as the most thoroughly integrated example, not only basing the S-theme on material from the P-theme, but even having the former transform into the latter during the exposition and recapitulation (detailed further in chapter 5).

The organic metaphor receives a great deal of discussion and criticism during the twentieth century as it still does today, but it also speaks to what made Prokofiev's Fifth Symphony so much more successful than his previous entries in the genre, with the possible exception of the First Symphony in 1916.[5] Besides its more integrated approach (as opposed to the "terraced" interjection of previously constructed themes), the Fifth's success may be due in part to its program and marketing as a work celebrating the then-imminent victory of the USSR in World War II. Prokofiev dedicated the work to "the triumph of the human spirit" (Morrison 2009, 250), saying it was intended as 'a hymn to free and happy Man, to his mighty power, his pure and noble spirit'" (Antokoletz 2014, 256, quoting Shlifshstein 1956, 134). Morrison is not entirely sure about Prokofiev's own sincerity in this dedication, pointing out "he waxed less poetic in the American media, informing an unnamed journalist for *Time* that the Fifth Symphony 'is about the spirit of man, his soul or something like that.' The flip, one-size-fits-all nature of these remarks is only augmented by the fact that he used them again to describe his Sixth Symphony" (250). This suggests that Prokofiev may have known what it took to promote a

[5] The Fifth Symphony still manages to borrow material from previous works, just not to the same degree as the Third & Fourth Symphonies. The Fifth's second movement recycles a theme from *Romeo & Juliet* (1938) and its scherzo's first theme is taken from music written for *The Queen of Spades* (1936), one of many Soviet-era films that were never finished (Morrison 250).

major work as a Soviet one, at least in the official aspect of the word, even if he did not wholeheartedly embrace the tenets of Socialist realism.

Prokofiev began work on the Sixth Symphony the year following the Fifth's premiere and finished two years later (1945-1947). "Cued by Prokofiev himself," Morrison says, "critics of the period interpreted the work as a sequel to the Fifth Symphony, the somber, rustic persona of the latter complementing the strident, heroic persona of the former" (289-290). Boris Schwarz draws a similar connection in 1972, describing them together in terms of how they relate to and comment on World War II, with the Fifth exhibiting "a lot more nobility, confidence, and serene humor as opposed to the later response to the war in the Sixth, which is more about the war's tension and sorrow" (196-7).

AN INTEGRATED APPROACH TO PROKOFIEV'S WAR SYMPHONIES: LINEARITY, VIRTUAL AGENCY, AND SYMPHONISM

I discuss these two symphonies in greater analytical detail throughout the following chapters. My analyses are not limited to the surprising, chromatic features of his language or to the extensions of common-practice formal archetypes that the War Symphonies exhibit. I also explain the numerous musical features and compositional techniques that unite these works as coherent, integrated, Soviet-era Symphonies along the lines that Fanning and Antokoletz have mentioned. Indeed, in the analytical literature on Prokofiev, his music is often—and quite understandably—analyzed in terms of its disjunctive features. Such approaches tend to focus on harmonic, temporal, or formal aspects of his works, but rarely mention their melodies. I go further by arguing that the themes that make up his later, Soviet style often smooth over seemingly incongruent features by means of ascending or descending melodic lines. This form of linearity is more loosely integrated with the musical surface than that which common-practice

Schenkerian analyses divulge.[6] Instead of prolonging a single harmony, these lines usually bridge two distantly-related keys and rarely exceed the length of an extended phrase or thematic statement.

I begin by taking a closer look at five types of lines in the War Symphonies. After proposing a theory about how they function throughout these works, I unpack the metaphors used to describe the way these melodies smooth over "disjunct" harmonic progressions by hearing them within in a virtual environment with analogues of physical forces such as gravity. Our experience as listeners comes to the fore in terms of how we may imagine these melodies overcoming obstacles or giving in to the musical forces that surround them. This kind of musical, virtual agency allows me to look beyond the phrase level to explain how Prokofiev constructed dramatic arcs that span entire symphonies.[7]

I limit my analytical scope to the two War Symphonies because they reflect the composer's engagement with contemporaneous Soviet aesthetics, official criticism, and the events of World War II. My dissertation contextualizes its linear and agential approach within the emerging shift toward his Soviet style by way of Boris Asafiev's conception of symphonism. An ideally Soviet musical process, symphonism describes a musical process which begins by disrupting a state of equilibrium and spending the remainder of the work returning to that state, only achieving it at the end. This process has four components, as shown in Figure 1.1: (1) relentless motivic development (without any exact repetition of a theme or idea), (2) the denial of full cadences until the end (often achieved by the blurring of cadences and sectional boundaries);

[6] My linear analysis borrows from the framework proposed by Daniel Harrison in his 2016 book *Pieces of Tradition: An Analysis of Contemporary Harmonic Practice*, which brings together elements of Hindemith's theory of step-progressions and David Neumeyer's writing on Hindemith's compositional practice (1986).

[7] In regard to virtual agency in music, I borrow from Robert S. Hatten's *A Theory of Virtual Agency for Western Art Music* (forthcoming in 2018).

these techniques function to (3) maintain tension throughout a work, and (4) ensure the design of reprises as the outcome(s) of long-range motion (Haas 1992).[8]

Rather than proposing an analytical framework, Asafiev intends symphonism to work as "a series of creative possibilities" which take a more energetic perspective on form as opposed to a schematic, static one. Themes, harmony, rhythm, and meter can lead to an intuition of musical motion, thus these phenomena are viewed as "source stimuli" for the compositional process (Haas 1998, 68 – 69). Asafiev relates these stimuli to a unitary, integrated, and developmental creative strategy.

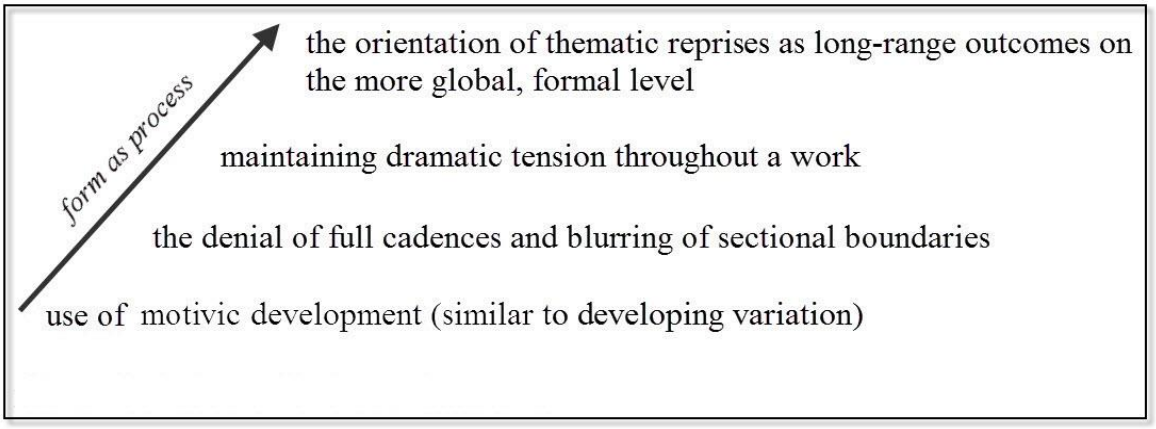


Figure 1.1: Four basic components of Asafiev's symphonism

[8] I have drawn these components from David Haas's article, "Boris Asaf'ev and Soviet Symphonic Theory." He does not explicitly list them as I have here. Haas' four-tiered description of symphonistic ideals in his 1998 book *Leningrad's Modernists* (76 – 78, 415 – 418) differs somewhat, and they are not as readily interpretable in terms of what they might mean for musical analysis. Nonetheless, they offer further insight into Asafiev's formulation of what Soviet music should ideally sound like: (1) conflict should be created through the juxtaposition and development/interaction of contrasting ideas, with their resolution taking place on a "grand scale." (2) A symphonistic work should be experienced as a stream of consciousness or "as a single entity," not a patchwork of sectionalized components. The listener should be able to intuit an ongoing, integrated process in the music. (3) The entire work should constitute "an unbroken chain of disruptions to an equilibrium." This idea bears a degree of Bergsonian influence with the argument that this chain/stream of disruptions disturbs us "both qualitatively (frustration) and quantitatively (loss of time)." (4) Finally, the concept of "intonation" comes into play; music should be "an expression of the world of emotions and ideas," focused on "the capturing in sound of the experience of being human."

In this sense, "unitary" means that a single overarching process should take place, which develops organically related iterations of a musical theme or gesture. "Integrated" means that all the "source stimuli" should relate to this process as opposed to foregrounding any one individual parameter.

In his book *Leningrad's Modernists*, David Haas makes a thorough attempt to understand symphonism. Early in his career, Asafiev described it generally as a "stream of musical consciousness … when not a single element is conceived or perceived as being independent amidst a remaining multitude, but [all] is intuitively comprehended in its entirety as a creative entity set in motion" (Haas1998, 75, quoting Glebov, 1918, 64). In other words, "a series of changing but closely connected musical representations … constantly draw us onward as they have drawn us from point to point … to the ultimate conclusion" (Haas 1998, 76, quoting Orlova 1984, 203). Haas notes that while the language so far may seem impressionistic, one can surmise that symphonism involves "unbroken melodic and developmental processes." Also, despite his focus on the composer, Asafiev makes a few references to the perceiver, for whom a similar process takes place. This perception involves "comparisons, selections, inclusion and exclusion of components, unification and differentiation of the fabric, and the foundations of new correlations, as the outcome or synthesis" (Haas 1998, 77–78, quoting Glebov 1928, 28). As I discuss later, these perceptive traits parallel certain aspects of Hatten's virtual agency framework; its significance for the interpretation of Prokofiev's War Symphonies receives detailed attention in chapter 6.

Returning to Asafiev's overall emphasis on melody (despite his argument for a process where every musical parameter is equally integrated), he outlines its potential for expressing a general sort of linearity. First, on melody, he reinforces his opposition to a static melodic schema

as opposed to a more energetic melos, which is a "dynamic essence producing impressions of flow and continuity in the listener's ear that … cannot be schematically rendered" (Haas 1998, 70). This "essence" can result in a melodic line, which is an essential part of musical motion for Asafiev. However, it is not entirely clear whether a "line" is a stepwise melodic gesture, an identifiable voice in a homophonic or polyphonic texture, or some other sort of expression. Second, the emphasis on linearity is particularly appropriate when melodic aspects of a work are "perceived independently from and, to a degree, in competition with harmonic process" (74). Later, I relate this general linearity to that of Daniel Harrison's recent work on linear analysis.

Beyond this last question on what exactly constitutes linearism for Asafiev, many of his ideas have been characterized as vague, inconsistent, or contradictory because they are not always described with a great degree of detail. For example, there is little offered in *Musical Form as Process* that specifies how this notion of processual form would play out on the surface level of a work, what constitutes the "dynamic essence" of his melos, or how exactly the perceiver ideally experiences a symphonistic work.

Asafiev was purposefully vague when defining symphonism, saying "it is pointless to define [it], just as it is impossible to define the concept of the picturesque, of the truly poetic, of musical sound …" (Haas 1998, 95, citing Glebov 1919, 6). Haas argues that Asafiev's energetic approach, standing in opposition to schematic perspectives of formal organization, intuitively involves a separation from familiar conceptualizations of harmony, melody, voice leading, rhythm, and form for fear of overemphasizing any one constituent component of the unitary musical process. Focusing on any one musical element for too long may lead to a stagnant, immobile characterization of a given work. Thus, rather than view Asafiev's open-ended approach to form as a shortcoming, one may appreciate its substantive emphases on larger-scale

formal conceptions and the motivations it offers for the sequence and development of themes and gestures.

Before I adapt Asafiev's ideas to my work on Prokofiev's War Symphonies, it is important to note that these ideas are not all necessarily unique to Russian theory, nor are they necessarily reflective of Soviet culture. In fact, most of these processual characteristics are also common in Western theory and analysis, likely owing to the influence of Beethoven's formal processes on Asafiev's writing. For example, Asafiev argued that an ideal Soviet work's "musical language should be both technically sophisticated and comprehensible to everyone." Also, "it should be conceived on an epic philosophical scale," perhaps through implementing a program, but it should not "fall into the trap of sound effects or glib musical images" (Fairclough, 2006: 32 – 33). Such ideals had already found precedent in contemporaneous Western theoretical models, and they reflect Beethoven's influence on those analytical models.[9]

There are, however, common traits among successful, Stalin-era Soviet symphonic works that likely bear the influence of Asafiev's ideas, though such a connection must remain speculative. These are the same as those described earlier in Fairclough's work on Shostakovich: "chronicling Soviet reality," often with "straightforward 'positive' themes" which are developed right away, along with truncated themes in the recapitulation (Fairclough 2006, 34). Such descriptions (and prescriptions) are manifest in Prokofiev's War Symphonies to an unprecedented degree when compared to his earlier symphonic works, but they are also couched in a more politically charged environment. Indeed, discussing the positive reaction to the Fifth, Simon Morrison writes that, "to the delight of his supporters, Prokofiev produced an evocative score … interpretable as a parable about the war – before, during, and after – and about civilization thwarting annihilation" (Morrison 2009, 249).

[9] see Scott Burnham, *Beethoven Hero,* chapter 3

Symphonism's emphasis on a unitary process already imbues the content of the Fifth Symphony with a generalized narrative of overcoming as soon as the listener experiences the bombastic reprise of the primary theme at the end of the opening movement. Hearing it in the context of its program, the movement's trajectory takes on a communal and Soviet specificity it would not necessarily have evoked otherwise. The addition of this program to the War Symphonies thus suggests an attempt on Prokofiev's part to integrate his evolving, Soviet compositional style with official expectations (as inconsistently as those standards were delineated and enforced).

With these aspects of symphonism in mind, I view Asafiev as a seminal thinker who writes on music from a more compositional standpoint. As an analyst approaching the selected repertoire of Prokofiev's Fifth and Sixth Symphonies, I seek to establish and implement a framework that can speak to the surface-level phenomena of these works as well as their global-level formal trajectories, all in the context of their roles as Soviet, symphonistic compositions. Subsequently, I propose to expand symphonism's processual motivations by way of two approaches which share a number of common goals with Asafiev's ideas. I propose using Robert Hatten's framework for virtual agency and Daniel Harrison's approach to general linearity in order to (1) take a more comprehensive view of this selected repertoire, which in effect represents Prokofiev's Soviet symphonic style,[10] and (2) link Asafiev's formal ideas with recent hermeneutic and linear analytical theories.

[10] Prokofiev's Seventh Symphony was written between 1951 and 1952. While technically written during the final Soviet portion of his career, it represents a significant break with his evolving Soviet compositional style. It does not attempt to integrate and develop opening themes and gestures; instead, it features clearly partitioned sectional boundaries and a much more diatonic harmonic language. Thus, I have excluded it from my more focused analytical study of those symphonies more clearly influenced by Soviet realism and Asafiev's symphonism. Also, in 1947, Prokofiev revised his Fourth Symphony (originally premiered in 1929) along lines he thought more suitable to contemporaneous Soviet aesthetics. However, this work represents a patchwork of material combined from a cancelled ballet production, *The Prodigal Son*, and the 1947 revisions are introduced piecemeal into the existing 1929 score, as opposed to being integrated in a way that exhibits a symphonistic process.

I link symphonism and virtual agency because they both integrate local-level phenomena with a larger-level formal trajectory by way of a cumulative process. In other words, surface-level themes or gestures are developed without losing their identifiable traits while furthering an evolving musical discourse. However, virtual agency does not solely function to make my approach more comprehensive. Symphonism can enrich Hatten's framework by showing how a similarly hierarchical and cumulative process can unfold from a compositional perspective. This viewpoint is especially relevant for the War Symphonies, given Prokofiev's possible professional motivations for writing successful symphonic works. In turn, Asafiev's general views on a creative process that is unitary, integrated, and energetic - along with the role played by an ideal perceiver – can be expanded by way of Hatten's virtual agency, which provides the analytically-oriented tools to reconcile surface-level phenomena with an unfolding form.

Robert Hatten's theory of virtual agency (from his forthcoming book) provides a platform for discussing more analytical specifics with a four-tiered, kinetic process (see Figure 1.2). Unlike Asafiev, however, Hatten does not propose an ideal form of composition or music in his framework. Instead, he focuses on the listening and experiential quality of a given work, distinguishing four "levels of inference for (the simulation or imaginative construction of) virtual agency in music." These begin with (1) the inference between an actual, sounding event and the progressive virtualizing of that event as an *actant* (its continuous shaping through time). Actants, by way of progressive embodiment, are then inferred as (2) virtual human *agents* (the ascription of intention, identity, or virtual acting). Agents are progressively fictionalized as (3) virtual *actors* "in a virtual story, drama, or narrative" (here aspects of conflict and outcome, dramatic and dialogical interaction come into consideration). At the final stage, virtual actors become

progressively internalized as (4) an overarching virtual *subjectivity* (the actors' outcome(s) result in the listener's "engagement with their own experiences as negotiated identification").

Figure 1.2: Hatten's four levels of inference of virtual agency

I do not necessarily equate the four stages of Asafievan symphonism with those of Hatten's agential levels. However, I argue that some parallels between the two produce a framework for discussing Prokofiev's musical language as a Soviet composer. Figure 1.3 (below) illustrates such connections between these frameworks.

Beginning on the bottom and moving upwards, this map follows the "bottom-up" approach of both theories, wherein more local-level relationships motivate long-range connections and lead to emerging expressive qualities as a given work unfolds. Alongside these two frameworks is the overarching trajectory of Hatten's melos, which accumulates thematic, motivic, and rhythmic gestures, along with counterpoint, dynamics, and other secondary parameters, to form an encompassing, dialogical, and continuously evolving perspective on the work. Melos brings the processual, kinetic aspect of both Hatten's and Asafiev's theory to the

fore, strengthening the parallels between these approaches. Asafiev also used the term "melos" to describe the linear aspects of music, especially in regard to melody, although he does not propose a rigorous framework for melodic lines.

Harrison's recent book largely focuses on expanded tonalities.[11] Specifically, this involves repertoire that, while triadic, nonetheless appears after the common-practice era. Thus, the term "linearity" does not necessarily refer to a functionally tonal, traditional Schenkerian perspective. Instead, Harrison adopts three linear categories for analysis. I explain them in detail in the following chapter, but for now it may prove useful to outline his use of "Hindemith lines" ("H-lines") as surface-level stepwise linkages between a more stable beginning and endpoint. They only move in one direction (either ascending or descending). The lines do not prolong any one harmony, as a "Schenker line" ("S-line") would; rather, they often link two foreign harmonies or key areas.[12] Subsequently, "H-lines" only pertain to relatively local phenomena. "Kurth lines" ("K-lines") are simply "pitch adjacencies without harmonic underpinning or lacking directed motion to or from any significant pitch" (83). I will focus on "H-lines" in Prokofiev's later works since "S" and "K" lines appear far less often.

All three approaches are related in Figure 1.3. The first three aforementioned aspects of symphonism that pertain more to motivic variation – continuing tension, motivic development, and denial or obfuscation of cadential/section boundaries – function on more local levels. Consequently, in Figure 1.3, they are positioned alongside the actant, agent, and actor stages of Hatten's theory. "Variation" here involves interpreting gestures as musical events shaped through time on both the musical surface and within the broader perspective regarding the

[11] Harrison, Daniel. *Pieces of Tradition: An Analysis of Contemporary Harmonic Tonal Music*. New York: Oxford, 2016.

[12] Harrison credits David Neumeyer's work in *The Music of Paul Hindemith* (67) with first pointing out such connections.

outcome of the motive's development by the end of a given work (akin to Schoenberg's "developing variation," which I discuss in greater detail in chapter 6).

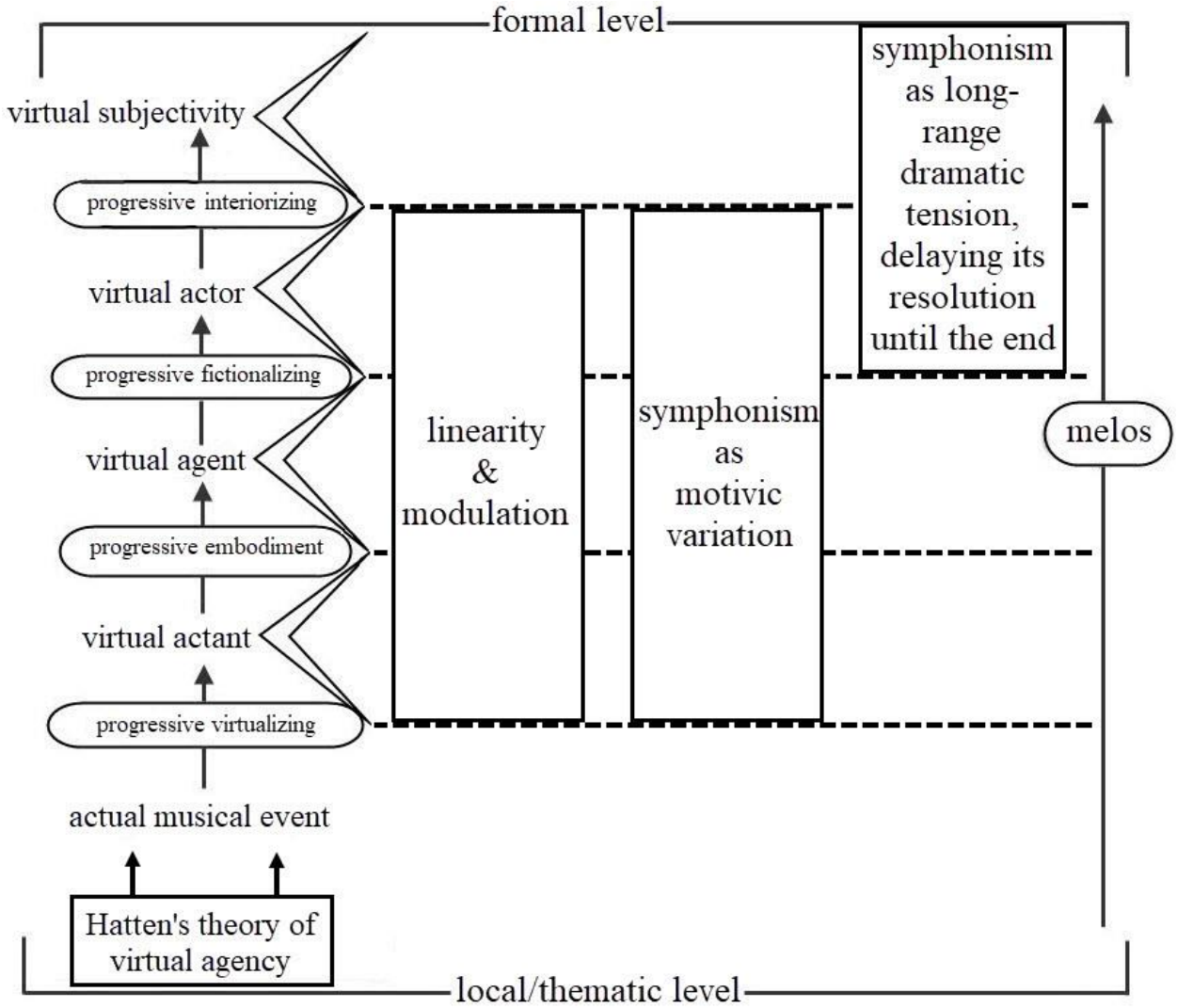


Figure 1.3: Mapping Hatten's theory of virtual agency with Asafiev's symphonism and Harrison's linearity

Specifically, a given gesture can depart from its original shape to the point of bearing little to no resemblance with its progenitor, or it can maintain a closer iconic resemblance throughout. It also may or may not undergo a straightforward or varied reprise at the work's conclusion. With

this potential spectrum in mind, I argue that symphonism—as motivic, developing variation—maintains flexibility across the lower three of Hatten's levels.

The linear and modulatory aspect of Figure 1.3 applies to a phenomenon often found in the War Symphonies: a basically linear, stepwise melody accompanied by a (mostly) triadic, continually modulating harmonic syntax. Thus, these passages construct a relatively coherent thread, by way of melodic linearity, against a seemingly disjunct harmonic support undergoing sudden tonal shifts, a phenomenon I call shifting tonal landscapes.[13] Linearity and modulation usually function on a more local level in the War Symphonies, since they rarely involve the prolongation of a single harmony that invokes a deep-structural phenomenon such as an Ursatz. As I will show in my analyses, H-lines can also reframe a gesture's musical shaping through time, forming a virtual actant. Once imbued with human-like characteristics, S- and H-lines may also imply a virtual agent. Finally, they may also emerge as longer phenomena spanning entire themes that are capable of being inferred in a virtualized fictionalization of a generalized narrative as a virtual actor. The fifth and sixth chapters touch on ways in which H-lines may suggest implications that stretch beyond the level of the theme-group to premise a conflict that overarches an entire movement, but they do not necessarily imply a subjective level on their own, but rather in relation to each other.

In this manner, Hatten and Harrison can expand Asafievan symphonism from both an analytical and an experiential standpoint. In the context of formal analysis, symphonism may also be thought of as an updated version of the nineteenth century Austro-German symphonic tradition, viewed in terms of an ongoing thematic discourse with emphases on developing

[13] By invoking linearity, I do not necessarily make an ideological claim in which the notes forming a stepwise ascent or descent are any more "structural" or "important" than those that do not. As I will demonstrate, these melodies work toward an expressive subjectivity only in their totality. However, I argue that the underlying melodic linearity stands as a foil to the seemingly incoherent harmonic progressions shifting beneath.

variation and organicism. As mentioned previously, symphonism likely influenced a movement beyond this tradition with populist emphases on chronicling Soviet "realities," an intensified degree of thematic development (immediate and thorough), "straightforward 'positive' themes," bombastic endings, and truncated reprises that represent the outcome of a long-range goal (Fairclough 2006, 42).

Prokofiev begins to emulate this symphonism in the opening movement of the Fifth Symphony with a primary theme that finally "emerges" as a stable idea after abruptly cycling through five developmental iterations in almost as many key areas. I argue that an analysis tracing the trajectory of this theme through the exposition as well as the entire movement, and its subsequent development with regard to the work's program, finds a close ally in Hatten's virtual agency framework, especially with its emphasis on a continually developing subjectivity. Like symphonism, this approach follows a musical process from surface-level features to the more global, formal level. However, Hatten offers a way of following and interpreting an inferential chain of events at numerous structural and temporal levels throughout a work. Hatten's four levels are flexible in that they can arise quickly or over the course of an entire movement. Furthermore, not all actants infer agents and not all agents invoke roles; not every stage in Hatten's virtual agency model need necessarily take place.

Returning to the primary theme from Prokofiev's Fifth, its five-part thematic development unfolds through the interaction of numerous musical elements. The melody makes a marked, leap-filled rise with dotted rhythms and ends with a calm stepwise descent, suggesting a hopeful, victorious trajectory. The texture greatly thickens through the first four statements, imbuing the theme with a more confident, victorious and communal state as more instruments join in. Already, the interpreter may have moved through the actantial, agential, and actorial

stages with the sense of overcoming via the melodic and textural elements of this theme's development.

On another level, a "problematic" E-natural introduced in the opening Bb-major theme returns in the secondary theme, which abruptly modulates from F major to E major at a moment of expected cadential closure. Several measures later, the theme is heard again, but remains in F. Subsequently, a narrative of "overcoming" plays out within the exposition, though the E-natural frequently reappears, remaining unresolved as a large-scale antagonistic feature heading into the later movements. These examples show how Prokofiev's program can be premised and sometimes resolved on different temporal and formal levels by way of various musical parameters. The design of Hatten's theory uses more concrete musical findings (themes, melody, texture, developmental techniques) when relating multiple readings to an ongoing discourse in a way that also speaks to symphonism's unitary, continuous, end-oriented, yet somewhat ineffable goals.

I do not mean to suggest that an ideal analysis should only proceed from the surface-level details of a given work toward a global-level subjectivity; after all, one already has at least one subjective apotheosis in mind from the start, given Prokofiev's program. Instead, I explain Prokofiev's symphonism and virtual agency within these two symphonic works in terms of their gestures, themes, and their inferred growth of agential identity. This is change as growth (Hatten's term), not just change in a given sequence or narrative. In other words, I follow the thematic discourse as a working-out of the emotions and thoughts of a larger, singular subjectivity. I will not solely trace a virtual agential movement through levels of inference in any one symphonic movement; I also suggest ways in which Prokofiev's emerging Soviet symphonic musical language motivates such a hermeneutic trajectory.

In summary, my dissertation attempts to explain Prokofiev's emerging Soviet symphonic style in the Fifth and Sixth Symphonies from the perspective of Asafiev's symphonism as elaborated by theories of virtual agency and linearity. Over the course of this dissertation, I address (1) themes that have internal modulations but remain coherent due to their agential energies and identities as well as the structuring force of H-lines, (2) a thematic discourse that develops between early and later iterations of a theme, (3) an overall dramatic trajectory that imbues thematic material with actorial roles which invoke Prokofiev's program, and (4) an ideological/subjective interpretation of those narrative trajectories. I will also suggest ways in which both linear analysis and virtual agency can enrich each other's scholarly discourse with linearity's link to musical forces and the early stages of Hatten's theory (as shown in Figure 1.3). Asafiev's flexible approach to form will also contribute to a more comprehensive understanding of the role of linearity, virtual agency, and ultimately, Prokofiev's actual, professional agency as a composer during his Soviet years.

Chapter 2: Linearity as Compensation for Weakened Functional Harmony in Prokofiev's War Symphonies

One exciting aspect of Prokofiev's music is its ability to quickly navigate through a broad spectrum between common-practice tonal norms and post-tonality, often within the same piece. I am not the first to notice this kind of versatility, but in particular, research on Prokofiev's approach to tonality has largely focused on the role of chromaticism. This particular "chromaticism" almost always implies a tonal or at least largely diatonic harmonic foundation with surface-level chromatic additions or alterations to triadic chords and melodies. Such chromatic additions are often referred to as "wrong" notes, which are understood to make up a part of Prokofiev's characteristic harmonic language.

Analytical Approaches to Prokofiev's Music

Richard Bass (1988) views "wrong" notes as having displaced (or "temporarily replaced") a diatonic pitch, with the implied diatonic "shadow" to be realized later, usually at some sort of structural cadence. Not all chromatic notes function in this way, only those labeled substitutions. If a chromatic pitch resolves immediately as a surface-level nonchord tone, Bass considers it an alteration. Subsequently, Bass suggests that Prokofiev employs an "expanded tonality" rather than a complete "tonal dissolution."

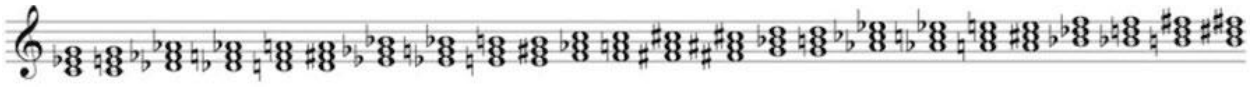
Neil Minturn (1997) aims to change the dominant view of Prokofiev's music as ultimately tonal with varying degrees of surface chromaticism. Instead, he proposes a synthesis of tradition and innovation, equating Prokofiev's Russian/Ukrainian heritage with tradition and

his time in the West with innovation. The author extends this opposition to include triadic harmonies as representative of Prokofiev's traditional techniques and pitch-class sets as representative of his innovative side. He does so by proposing a theory of "structural sets," which are usually tetrachords—most commonly (0148) and (0237) —that can substitute for a triadic tonic harmony. Thus, he hopes to turn the concept or "wrong" notes into "right" ones as an integral part of Prokofiev's idiosyncratic harmonic vocabulary. Minturn's approach appears to be largely *ad hoc*, where various musical parameters are briefly mentioned in a number of works, though a few in-depth analyses are included.

Three authors have adopted Russian theoretical approaches in their analyses of Prokofiev's music, two of them in dissertations. Michael Thibodeau's 1993 dissertation (Florida State University) applies Boleslav Leopol'dovich Yavorsky's theory to a few piano works. Generated by tritone intervals and their tonal resolutions, Yavorsky's framework supports an energetic approach that reframes voice-leading, keys, and key-relationships, but necessitates some awkward theoretical gymnastics for its justification. Nonetheless, Thibodeau's dissertation produces analyses that incorporate some so-called "wrong" notes into a nine-note "mode" or Russian *lad*, thus reframing them as less surprising or disjunct harmonic phenomena.

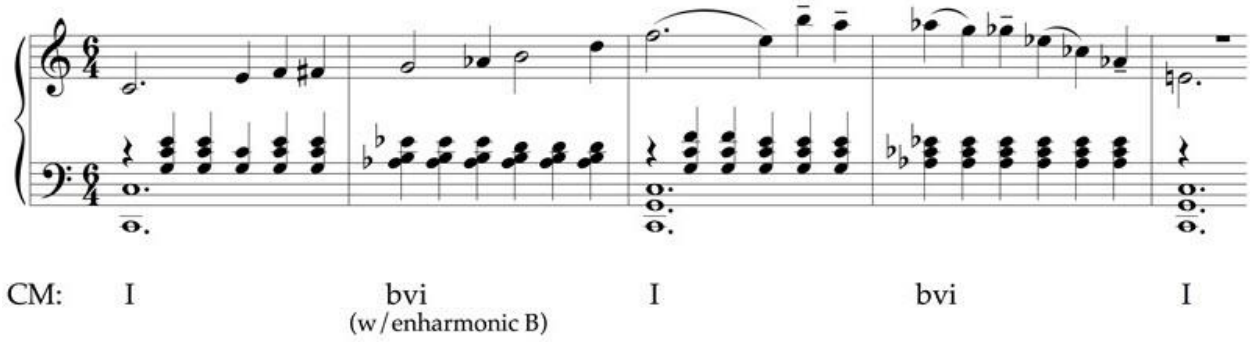
Inessa Bazayev (2014) discusses the evolving role of *lad* in the twentieth century, along with its applications to Prokofiev's music. Unlike the Western association of "modes" with church modes, the Russian conception need only be "built on a scale" in which "pitches in the scale may be stable or unstable" and "each mode has an intonation (*intonatsiia*), or an emotional, social, and historical connection." In the first half of the twentieth century, theorists tend to emphasize the function of individual pitches within a *lad*. In the latter half, a greater focus emerges on new ideas regarding harmonic function and syntax. Bazayev approaches this

harmonic emphasis through Miroslav Skorik's "synthetic mode," shown below as his "twelve-tone diatonic mode" in Prokofiev's music. Introduced in 1969, it builds a major and minor triad on every pitch and allows for two such pitch classes per scale degree, with the exception of what would constitute the tonic and dominant in a tonal scale (see Example 2.1).



Example 2.1: Skorik's twelve-tone diatonic mode in Prokofiev's music (taken from Bazayev 2014)

For Skorik, each harmony shown here is part of the same enlarged key. Bazayev shows Skorik's theory at work in Prokofiev's *Stone Flower* in Example 2.2. When m.2 sounds an Ab minor triad after the previous C major one, not only does it shift diatonically within the C "synthetic mode," but it also moves parsimoniously: every voice transitions by semitone.



Example 2.2: Skorik's twelve-tone diatonic system in Prokofiev's *Stone Flower* (cited in Bazayev 2014)

Bazayev points out the similarities to Richard Cohn's work on triadic proximity and parsimonious voice-leading (C major to Ab minor forms a hexatonic pole), as well as the fact that Skorik does not explicitly feature such parsimony in his discussion of the *Stone Flower*, yet all his examples show similar voice-leading. In this manner, (as well as another example which shows a Lewinian SLIDE operation at work in Prokofiev's Sixth Piano Sonata[14]), "semitonal voice leading is incorporated within the Russian concept of twelve-tone diatonicism, and it gives rise to defining sounds of Russian twentieth-century tonal music."

Christopher Segall (2013) offers a thorough-going application of Russian music-theoretical thought to Prokofiev's music (in addition to works by other twentieth-century Russian composers). With regard to Prokofiev, Segall focuses on the role of the triadic common-third relation and the differences between Russian and Western considerations of this relationship. In Western theory, one may comfortably explain the lowered-mediant triad in a major key as "borrowing" its lowered degrees from the major mediant of the parallel minor key. For instance, the appearance of an Eb major triad within C major (in lieu of the usual E minor one) "borrows" Eb and Bb from C minor, but the chord third (G) remains.

Segall's justification is largely based on the shared function between the two chords, not the common-third relationship which results from a Lewinian SLIDE operation. As mentioned in Bazayev (2014), the common-third nature of a triadic pairing is more significant for Russian theory. In fact, these SLIDE-related triads still retain their function, even for harmonies related to a key's tonic, subdominant, or dominant functions.[15] Again, while this reorientation of triadic proximity is echoed in numerous neo-Riemannian studies, Segall discusses common-third

[14] SLIDE operations transform the root and fifth of a triad by semitone in the same direction, but retains the third.
[15] Segall 2013 cites a number of Russian theorists who discuss the common-third relation, including Lev Mazel, Serafim Orfeyev, N.F. Tiftikidi, and Yuri Kholopov (8).

relationships as contemporaneously familiar for Prokofiev, suggesting that some of his chromatic "wrong" notes may not have been so jarring for Russian ears at the time (Segall 2013, 8-11).[16]

Analytical studies on Prokofiev have included other historical and cultural considerations, such as the autobiographical aesthetic claims used to organize the chapters of Minturn's book, or the relationship between Prokofiev's music and the official doctrine of Socialist realism (Fanning 1995, Frolova-Walker 2008). Additionally, hermeneutic readings have appeared alongside analyses of Prokofiev's works, such as Ronald Woodley's 1995 article on "Strategies of Irony in Prokofiev's Violin Sonata in F minor, Op. 80." Woodley employs an oft-cited dichotomy between diatonicism and chromaticism to parallel a productive expressive opposition between idealism and irony/struggle.

Prokofiev scholars approach his music from a number of perspectives, often in an attempt to rationalize his seemingly non-functional, surface harmonic successions as working within a larger, presumably hierarchical system. These mostly "top-down" readings have made great strides towards a more thorough and historically-sensitive understanding of his music. Still needed, however, is an analytical approach that examines the linear aspects of his music as they work alongside the oft-shifting, quasi-tonal harmonies.

While I will endeavor to contextualize my research within Prokofiev scholarship, I cannot avoid approaching Prokofiev's music with the bias of a Western theorist and listener. I acknowledge the possibility that a number of the passages I deem "harmonically unstable" may have sounded more stable to Soviet ears. My linear approach draws primarily on existing work by Western scholars, two of whom have written specifically on Prokofiev. David Heetderks

[16] Other authors discussing Russian theory at length include Ellon Carpenter (1983), Gordon McQuere (1983) and Philip Ewell's work on Stravinsky (2012, 2013) and Scriabin (2004, 2006, 2007). I discuss Bazayev and Segall here since they are among the few authors who include a thorough analytical application of Russian theoretical thought to Prokofiev's music.

(2013) discusses an emerging pattern in Prokofiev's voice-leading at cadences in the scherzo of his Flute Sonata (Op. 94), where a semitonal, wedge-like movement expands directly to the tonic, as opposed to moving through some sort of dominant analogue. While this linear motion may appear to substitute for a functional harmonic cadence, Heetderks still assumes a largely diatonic foundation for Prokofiev's musical language, interpreting these chromatic wedges as brief, passing phenomena.

Rifkin (2004) seeks to redefine the role of so-called "wrong" notes from that of chromatic decorations to signifiers of important motives. While these chromatic notes are primarily surface-level phenomena, they also evince one of three motivic categories: systematic motives (akin to Schenker's motivic parallelisms) which mimic the middle or deep structure, functional pitch-class motives, which invoke functional tonality but do not resemble an ongoing Urlinie structure, and non-functional pitch-class motives, which do not resemble functional harmony, but still associate with one another by way of ordered pitch classes. This theory suggests a new way to view Prokofiev's works as coherent structures, despite their idiosyncratic surface-level chromaticism. She also discusses his use of chromaticism in regard to phrase structure, demonstrating how Prokofiev often invokes tonal expectations before thwarting them toward the end of a phrase (2006). Rifkin is thus able to show that Prokofiev's music exhibits various degrees of tonality, as revealed not only by Schenkerian analysis but also through variants of functional harmonic syntax and common-practice phrase structures.

LINEARITY IN PROKOFIEV'S MUSIC

I build on Rifkin's work by considering the role of stepwise lines used melodically or contrapuntally within in his Fifth and Sixth Symphonies. While certain characteristics of the

lines themselves are certainly important—such as their length in terms of pitch members and measures, whether the members sound contiguously or not, and their decipherability as audible phenomena—I argue that their most interesting attributes pertain to their surrounding harmonic contexts. In this regard, the harmony underlying a line is categorized based on its proximity to common-practice tonal norms, which serve as the basis for determining stability.[17] In identifying categories of lines, my goal is not only to refine existing research on numerous stages of tonal or post-tonal influence in Prokofiev's music, but also to show how his works can easily move between them.

My work with linearity borrows from Daniel Harrison's framework in his recent book on contemporary tonal practice, as explained in the previous chapter. To briefly reiterate Harrison's framework, the harmonic context of stepwise lines serves as the main criterion for their classification, either as Kurth lines (K-lines), Hindemith lines (H-lines), or Schenker lines (S-lines). K-lines are "temporal and spatial pitch adjacencies without harmonic underpinning or lacking directed motion to or from any significant pitch" (82). H-lines are often easier to hear because they stand out by way of some timbral, rhythmic, or pattern-inducing trend: they are "K-lines with [a] certain directional vector" (83). They do not necessarily outline a particular harmonic region or interval, but they must move in one direction only and they may allow for some embellishment between members. Moving closer toward common-practice tonal lines (but not going so far as to follow all the constraints for Schenker's lines), an S-line is "disciplined by harmonic anchors … [horizontalizing] an underlying tonality frame" (83).

[17] By employing an eighteenth- and nineteenth-century Austro-German standard for harmonic stability in Soviet musical works, I do not necessarily make the assumption that contemporaneous listeners, or even Prokofiev, heard these works against such a standard. Instead, I employ this measuring stick as a modern listener and analyst in an effort to explain how these works may be experienced by non-Soviet audiences.

I focus on the role of S-lines and H-lines in Prokofiev's War Symphonies because they provide aural, melodic coherence among varying degrees of harmonic instability. Between these two types, H-lines are far more common. I take Harrison's three more generalized types of lines as inspiration for proposing five categories of stability based on the harmonic context surrounding the endpoints, or nodes, of these lines. The first category deals with S-lines while the remaining four are types of H-lines:

1. stable-stable lines are lines where both nodes are somewhat stable and lie within the same key area (these are essentially S-lines);

2. stable-stable modulating lines are lines where both nodes are somewhat stable, but the final node is in another key than the first;

3. unstable-stable lines are lines where the first node is in an unstable harmonic context but the second one is somewhat stable (by "unstable," I mean relatively unstable for these two symphonies, wherein the greatest instabilities involve passages where it is difficult though not necessarily impossible to determine what key area the line begins in);

4. stable-unstable lines are lines where the first node is in a somewhat stable harmonic context but the second one is unstable;

5. unstable-unstable lines are lines where both nodes are in an unstable harmonic context (these are similar to Harrison's K-lines, but with a directed motion in their linear patterning that links them more closely to H-lines).

Each category engages with Prokofiev's quasi-tonal language in the War Symphonies. The harmonic progressions underlying these lines are often tertian, but may not always be tonally syntactic. Some closely resemble the common-practice era (such as the two stable-stable types), others are at least more suggestive of atonality (unstable-unstable lines) and still others reside somewhere in between (unstable-stable and stable-unstable). Even examples from the earlier

categories, while the most stable overall, may include surprising, non-tonal chord successions. Harrison's S and H-lines provide a decipherable, stepwise, coherent thread linking relatively functional endpoints, even when passing through unstable harmonic regions. I propose the latter three types of H-lines as functioning to link varying degrees of tonal stability. My notation of H-lines depicts line nodes as either stable or unstable, but this binary distinction actually takes place on a spectrum, with some nodes more or less stable than others. After overviewing the appearance of these lines throughout the War Symphonies, I identify beginning and nodes in the following examples within a general framework of what "stable" and "unstable" means for these works. Thus the overarching notion of tonal stability and instability in the common-practice employed here gains a degree of nuance for these two symphonies, wherein the most stable passages are functionally tonal but include a proliferation of nonchord tones, while the least stable obscure a sense of an underlying tonic but remain largely triadic.

As one moves from the more stable line types to the least stable ones, certain characteristics of the lines themselves emerge regarding their salience. Specifically, they tend to become easier to discern as lines, because less elaboration tends to occur between line members. Since the latter line-types occur during more unstable passages in Prokofiev's harmonic language, I suggest their more obvious salience as lines creates a compensatory coherence as the role of tonal harmony wanes. I elaborate on this form of coherence below when I discuss an example of each line individually.

LINEAR TYPES IN THE WAR SYMPHONIES' OUTER MOVEMENTS

For purposes of concision, I limit this chapter's discussion of S- and H- lines to the outer movements of the War Symphonies. Even so, these four movements (Symphony No. 5/i and 5/iv

as well as Symphony No. 6/i and 6/iii) do not incorporate S and H-lines in the same fashion, although some commonalities occur. For example, three out of the four movements feature between 24 and 27 S- or H-lines, whereas the finale of the Sixth Symphony includes 40 such lines. However, it should be noted that the Sixth Symphony's finale contains many more measures than the other movements. When considering this finale's expanded length, as compared to the other movements' timings, it is actually the opening movement of Symphony No. 5 that shows the greatest density of S- and H-lines (see the lower half of Figure 2.1 below). As I explain below, the density of linear patterns correlates with other aspects of the War Symphonies' expanded tonal syntax, cadence types, phrase structure, and formal processes.

The relatively high density of H-lines in 5/i becomes apparent in the exposition, whose primary and secondary themes are constructed from elaborated linear ascents and/or descents. Five statements of the primary theme in four different key areas often dovetail from one to the next as they undergo subtle variations.[18] In addition, three H-lines (all in the unstable-stable category) occur simultaneously during the primary theme group between mm.18-20.[19] Thematic variation occurs in each of these movements, but becomes the modus operandi for the opening movement of the Fifth Symphony, since the vast majority of the piece elaborates either the primary or secondary theme. Persistent variation of linear-based themes also accounts for the unusual density of lines in this movement.

The opening movement of the Fifth Symphony is an outlier for other reasons as well. As seen in the top half of Figure 2.1, all the other symphonic movements tend to follow the overall ranking of line-type occurrences, with stable-stable modulating lines taking place more often

[18] Antokoletz 2014 describes this passage's tonal shifts on pp.256-257.

[19] Simultaneous lines occur again in the transition, secondary theme, and development. Later chapters will examine the simultaneous appearance of two or more lines with constituent pitch members sounding either at the same time or in dialogue, resulting in similar and contrasting motion as a deeper level form of counterpoint.

than any other. However, 5/i alone features more unstable-stable lines than any other line type, along with fewer instances of stable-stable modulating lines than any other movement. This is due to a number of phrases that do not necessarily cadence in the common-practice tonal sense so much as they clear to consonance. The approach to formal borders, such as the one between the development and recapitulation, often feature similar quasi-cadential lines .

line categories	Symphony No.5/i		Symphony No.5/iv		Symphony No.6/i		Symphony No.6/iii		totals		
	# of lines in each category↓	percentage taken up by each category ↓									rank
stable-stable	3	13%	9	36%	4	15%	8	19%	24	20%	3rd
stable-stable modulating	6	25%	13	52%	18	67%	17	40%	54	45%	1st
unstable-stable	10	42%	2	8%	2	7%	11	26%	25	21%	2nd
stable-unstable	3	13%	0	0%	0	0%	3	7%	6	5%	5th
unstable-unstable	2	8%	1	4%	3	11%	4	9%	10	8%	4th
total # of lines →	24		25		27		43		119		

measuring the density of lines:

measures	261	363	480	722
approx. timing	14:05	10:31	14:45	12:20
measures/minute	**18.5**	**34.5**	**32.5**	**58.5**
lines/100 measures	9.195	6.887	5.625	5.956
lines/minute	1.7	2.4	1.8	3.2
lines/measure/minute	**1.2**	**0.7**	**0.8**	**0.7**

Figure 2.1: Occurrences and relative density of S- and H-lines in the outer movements of Prokofiev's War Symphonies

Linear gestures almost always occur at the end of phrases or formal zones in common-practice music, so Prokofiev's cadential lines may not seem as innovative as those which underlie more clearly thematic material. Nonetheless, these lines also manage to bridge shifts between distantly-related key areas or motion between stages of tonal stability/instability. Such linear closural gestures will constitute a few examples in this and subsequent chapters, but the majority of examples come from more thematically embedded lines. While common-practice melodies

also feature linear backgrounds, Prokofiev's thematic lines tend to occur closer to the surface, ascend as often as they descend, and bridge harmonic motions outside the harmonic syntax found in eighteenth- and nineteenth-century works.

This caveat on melody and linearity begs a broader question about the thematic (as opposed to non-thematic) roles of these lines in the War Symphonies. Figure 2.2 reorients line totals in each of the War Symphonies' outer movements depending on their function as part of a theme or as a non-thematic transitional or accompanimental line. Thematic lines must occur as part of the melody of a theme, not its accompaniment. Such a "theme" may be the primary or secondary theme, but also a development theme, a variation thereof, or any other salient moment where a clear, melodic theme is sounding. Non-thematic lines fall into the category mentioned earlier (as cadential or transitional gestures) or the category of accompanimental phenomena.

line categories ↓	5/i		5/iv		6/i		6/iii		totals		
	number of thematic lines	total number of lines									% of each type that are thematic
stable-stable	3	3	4	9	4	4	6	8	17	24	71%
stable-stable modulating	4	6	6	13	10	18	10	17	30	54	56%
unstable-stable	3	10	1	2	2	2	2	11	8	25	32%
stable-unstable	3	3	0	0	0	0	2	3	5	6	83%
unstable-unstable	0	2	1	1	3	3	0	4	4	10	40%
totals	13	24	12	25	19	27	20	43	64	119	54%

Figure 2.2: Thematicism of S- and H-lines in the outer movements of Prokofiev's War Symphonies

As a general rule, more stable lines tend to occur as part(s) of a theme. They also last longer in terms of pitch members and measure length, and they feature more elaboration between each pitch member along the line. An exception occurs in the category of stable-unstable lines in terms of their thematicism, although the relative rarity of this and the unstable-unstable lines may

result in some skewed percentages. Nonetheless, the thematic nature of stable-unstable lines, which lead the listener out of stability and into tonal dissolution, suggests that their role as coherent threads (discernable linear phenomena) may function as a guide into instability, substituting for the waning role of tonality's coherence.

This greater degree of linear, compensatory coherence in the less stable line types does not diminish the significance of the more stable line types as phenomena which function to tie disparate key areas together. Indeed, some of the tonal shifts that Prokofiev's themes undergo emerge as striking, colorful contrasts that threaten underlying harmonic stability and may alter a listener's expectations regarding where a given theme or phrase may end. Conversely, the lengthier, more thematic nature of the stable line types does not necessarily imbue them with greater significance: while their interaction with common-practice and extended tonal harmony receives a great deal of attention below, the ability of the less stable (and less lengthy) line types to bridge less coherent passages proves to be another crucial component of the War Symphonies' innovative voice-leading structure.

Over half of the S- and H-lines articulate part (or in some cases, all) of a melody. In terms of this trend from one movement to the next, the only substantive exception occurs in 6/i, where over two-thirds of the total S- and H-lines make up part of a melodic gesture. This movement, like most in the War Symphonies, is in sonata form and features a great deal of variation on its main themes. The primary theme of 6/i largely consists of two thematic gestures, the second of which articulates a slightly elaborated, ascending linear motion. The recurrence of this linear theme helps to explain the high degree of thematic lines in this movement (most other main themes in these two symphonies, while often built on lines, feature less contiguous progressions from one pitch member to the next, or simply employ a subtler use of H-lines).

Stable-stable modulating lines are most common line type in the War Symphonies and, with one small exception, also the most thematic. Figure 2.1 shows that it occurs over twice as many times as other line-types. They are especially prevalent in the finale of the Fifth and opening movement of the Sixth Symphonies. This pervasiveness motivates a connection between these lines and the rapid tonal shifts that make up a great deal of Prokofiev's harmonic language in these works. Such "tonal shifts" do not necessarily invoke modulation in the common-practice sense (wherein an authentic cadence is often required in order to fully confirm the arrival of a new key). Instead, Prokofiev often implies a number of tertian key centers over the course of a theme group or singular thematic statement or variation.

When lines are present, they almost always take place over the course of these surprising "modulations," functioning as a coherent thread through the otherwise non-traditional harmonic motion. Such tonal shifts also occur between two instances of the same triad, where quick, non-diatonic harmonic detours may take place (as found with stable-stable lines, also known as S-lines). Both stable-stable lines and stable-stable modulating lines may bridge a number of smaller key changes between their beginning and end nodes.

In terms of modulating lines or those that transition between different degrees of harmonic stability, their processes of change take place either gradually (drifting away over the course of the line) or abruptly (remaining in one key or region only to abruptly shift at the end). Figure 2.3 illustrates a trend favoring the use of lines that drift away from their opening harmonic region. What I characterize as "drifting lines" are still quite capable of articulating "abrupt" tonal shifts that occur at the opening of their spans or midway through. After having accomplished an early tonal shift, they may also create another at the line's end. In this manner, "abrupt" lines are marked as a more specific procedure wherein only one clear tonal shift occurs

towards the end of the line. Subsequently, one may expect fewer abrupt lines than the unmarked, drifting ones. Figure 2.3 shows just a trend emerging over the course of the outer movements. However, the appearance of the marked, abrupt lines occurring as often as one in every four merits further consideration.

line categories ↓	number of abrupt lines	number of drifting lines	total number of lines	% of each type that are **abrupt**	% of each type that are **drifting**
stable-stable					
stable-stable modulating	14	38	52	27%	73%
unstable-stable	4	19	23	17%	83%
stable-unstable	3	3	6	50%	50%
unstable-unstable					
totals	21	64	85	25%	75%

Figure 2.3: Abrupt versus drifting tonal shifts in H-lines of the outer movements from Prokofiev's War Symphonies

This consideration of abrupt-versus-drifting tonal shifts excludes the most and least stable line types. Stable-stable lines necessarily return to their original harmonic realm, whether or not they span shifts to other keys along the way, so they cannot abruptly change keys in the same consequential manner as the other line types. Unstable-unstable lines, by definition, begin and end in an unstable region and thus cannot accomplish the same effect in either abrupt or gradual move(s) from one region to the next.

As suggested by the three line types that appear in Figure 2.3, abrupt lines may emerge in three different ways. Stable-stable modulating lines emerge as part of a largely diatonic passage that takes a surprising harmonic turn at the end of a line. One such line is discussed in the following chapter in Example 3.1, when the melody from the secondary theme of 5/i clearly outlines a linear descent over an abrupt modulation from F to E major. The line remains in F

major until its final note, D#, under which the move to E major immediately begins. While I focus on the linearity of this passage, such modulatory techniques (wherein a phrase remains in a given key only to modulate at its end) are also discussed in regard to phrase structure in Rifkin (2006).

Abrupt, unstable-stable lines usually achieve a sense of stability only at their end node as opposed to "drifting" into a more stable harmonic region than the one in which it began over the course of the line's unfolding. While a number of transitional or developmental passages throughout the common-practice articulate a linear gesture at their end, Prokofiev's extensive line also functions to connect a relatively unstable harmonic passage to the a more stable key area. Thus, it is not so much functioning as a thread leading out of instability during its span as it is functioning to drive dissonant harmony toward a more stable one. The nature of these types of unstable-stable lines is only apparent in retrospect once we move on in a more diatonic realm.

In contrast, the line types that take the opposite trajectory (stable-unstable lines) manage to drift as often as they move abruptly. However, their rare nature should be taken into consideration along with this 50-50 split, as one more or less line in either category would alter their overall percentage considerably. Nonetheless, the relationship between the unstable-stable line type and its inversion (stable-unstable lines) continues to be defined more by differences than similarities, especially in terms of how they function.

The actual appearance and use of stable-unstable lines in the War Symphonies recontextualizes my claim that lines may function to provide compensatory coherence among the dissolution of tonal syntax (and even triadic harmony). First and foremost, Prokofiev's establishment of any sort of harmonic region—stable or unstable—is often highly capricious. While instances of prolonged visits to any one region may be found in some of these movements,

an integral part of Prokofiev's harmonic language in the War Symphonies involves frequent tonal shifts. As such, what appears to be a stable-unstable line may be immediately upended as such and recast as a stable-stable modulating line if only it were to continue one pitch/harmony further over a relatively stable key area. Of course, the stable-unstable lines I discuss do not make such a move as they end, but the unstable zones in which they end do not last long either. Subsequently, the argument that stable-unstable lines are most emblematic of the idea that linearity itself can compensate for waning tonal coherence in real time must be refined. They provide compensatory coherence but their overall effect is short lived; the listener will likely encounter a quick return to a stable key area following the stable-unstable line.

Returning to the most frequent type of H-line, the inclination of stable-stable modulating lines to drift away from their opening key reflects the appearance of one or more additional harmonic regions along the way. Later, during the analytical portion of this chapter, I discuss an example (Ex. 2.4) that illustrates an instance of this line-type with just three constituent notes that nonetheless manages to imply three different key areas along the way (even the first note moves away from the tonic Bb major). However, another example of a stable-stable modulating line (Ex. 2.7), will feature a line with twice as many structural notes that only spans two keys. Whereas Prokofiev's ability to navigate through distant keys has been noted often, these examples highlight the rate at which he does so.

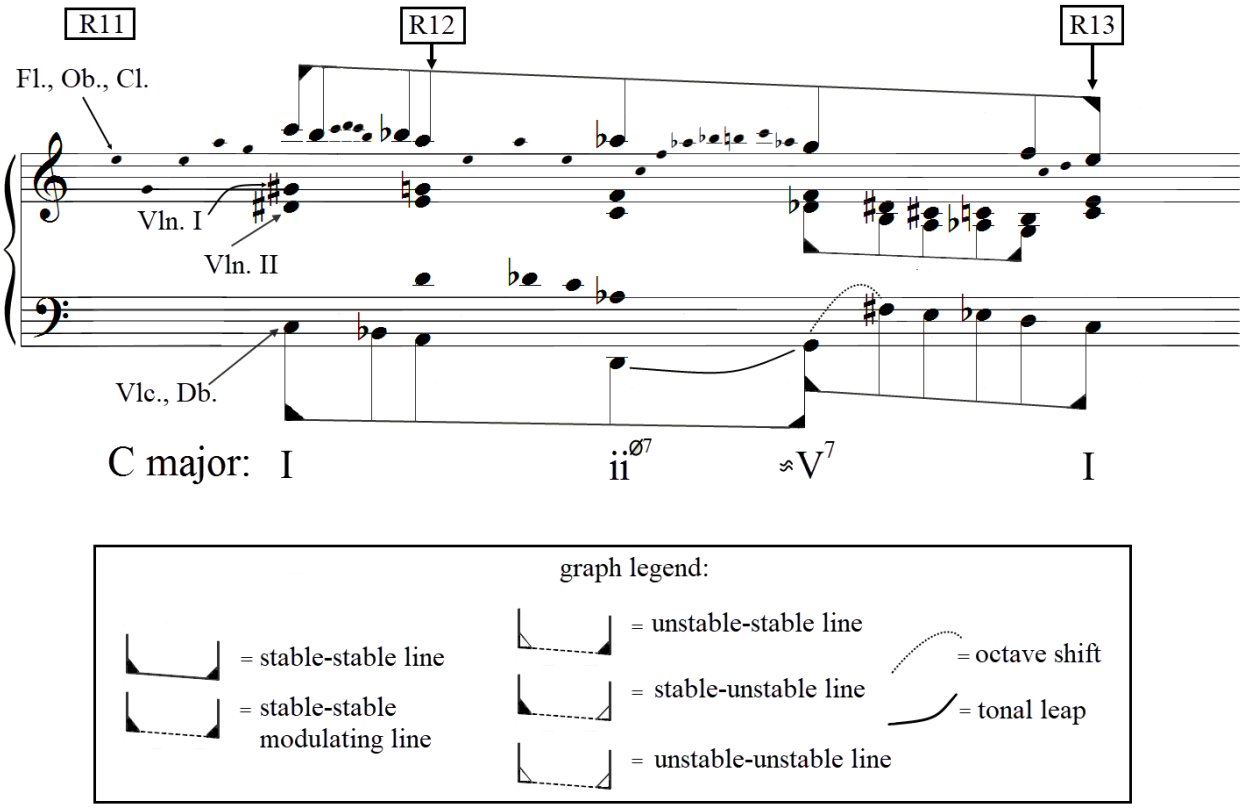
This broad look at how S- and H-lines appear throughout these movements speaks to their flexibility in terms of length, thematic content, and tonal shifts. However, when characterized by their overall stability (as I do here in terms of their beginning and end nodes), the more stable line types display a great deal of homogeneity. Line length, frequency of appearance, thematic content, and the pace of tonal shifts tend to coalesce within such categories.

In the examples that follow, more specific findings continue to build on this notion of coherence and musical motion through Prokofiev's innovative approach to triadic harmony and tonal syntax.

ANALYSIS OF S- AND H-LINES THROUGHOUT THE WAR SYMPHONIES

Taking a deeper look at representative examples of each line-type, we find that the first example (illustrating stable-stable lines) comes from the secondary theme in the finale of the Sixth Symphony (see Example 2.3 below). This typical instance of an S-line is relatively longer than other line-types, spanning the entire length of a thematic statement. The graph legend under the score helps to explain the linear notation and apparent slurring. Instances of stable-stable lines include a solid beam with filled-in triangular corner supports to illustrate endpoints functioning as a harmonic "frame." The dotted slurs represent an octave shift within a line that still continues the linear motion in the same direction. The solid slurs denote a harmonic motion that closely resembles the common-practice era, such as the predominant to dominant ($ii^{Ø7}$ to V) motion in the bass. With regard to harmonic syntax, this theme exhibits a relatively close adherence to common-practice tonality when compared to other line-types in the War Symphonies.

Beginning and ending in C major, a predominant chord leads to an altered dominant which resolves to tonic at R13. However, pervasive non-diatonic pitches occur throughout the entire theme until the final two chords. One may attempt to explain a few of them as mode mixture or chromatic passing/neighbor tones, but their widespread use becomes the norm, not the



Example 2.3: Symphony No. 6, III, S-theme (mm. 112-144)

exception (this has also been the case before we arrive at the secondary theme). As such, I argue that the non-diatonic pitches are a part of Prokofiev's harmonic language, at least as it is employed here in the War Symphonies. However, this example shows that his music can be largely tonal, relegating the non-diatonic elements to surface-level phenomena. As mentioned previously, Rifkin (2004, 2006) and Bass (1988) make similar observations from a Schenkerian perspective.

Building on their work, I highlight the surface-level melodic lines that act as coherent threads through the surprising harmonic shifts of this ultimately tonal progression. As this theme unfolds, the top melodic line (played by the flutes, oboes, and clarinets) articulates a stepwise descent that includes a number of elaborations between most of the line's constituent pitches.

However, these elaborative gestures are not substantive enough to obscure one's ability to hear an unfolding linear descent. Instead, they function as part of an overarching thread, always returning to the line, as if wary of straying too far from its structuring descent. As a result, it is possible to hear a sense of directed motion in the face of many underlying, surprising harmonic motions that do not necessarily function within the realm of C major.

This example is also typical of many stable-stable instances with their noncontiguous melodic lines, as opposed to later line-types which tend to connect their members contiguously. I argue that the relatively stable harmonic foundation (especially beginning and ending on the same harmony) provides an environment in which melodic elaboration may thrive without endangering a sense of overall coherence. In other words, relatively stable harmony allows the line to become at least somewhat obscured through melodic ornamentation. By contrast, later line-types take place in more harmonically unstable contexts, and thus cannot accommodate as much elaboration if they are to stand out as coherent, directed motions.

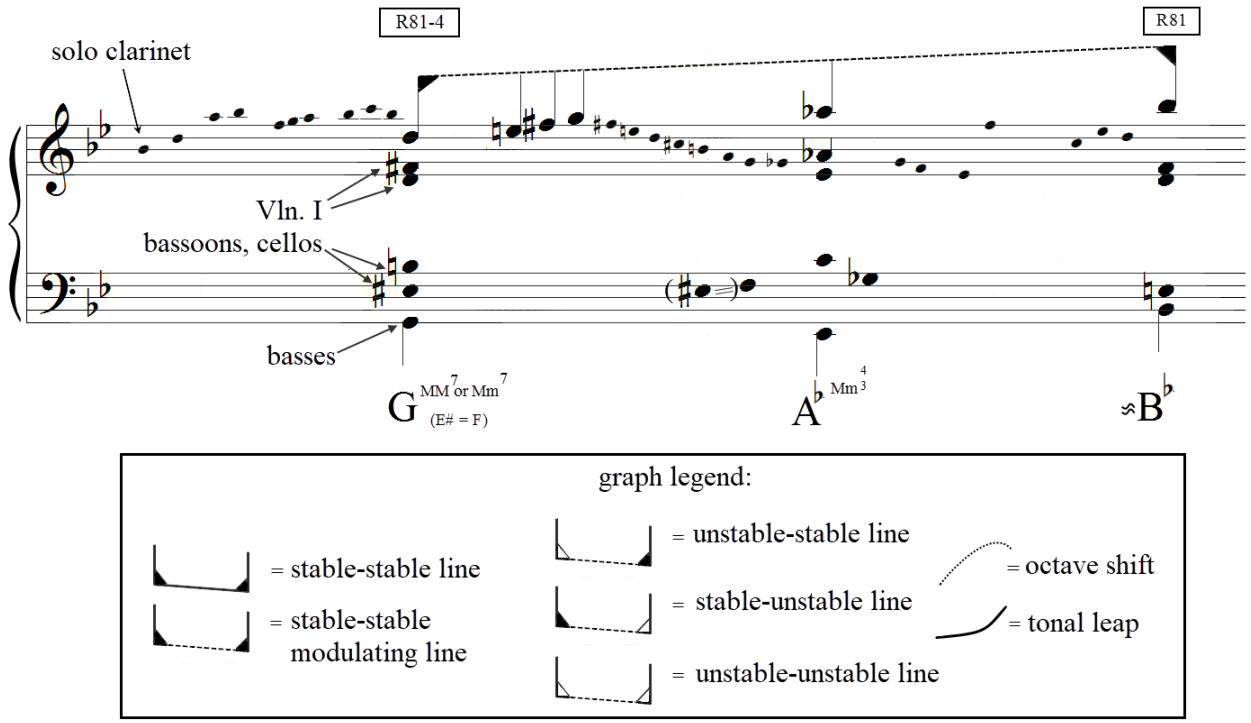
Stable-stable modulating lines, as a type of H-line, function in a different manner than S-lines, but still bear numerous resemblances to their more stable counterparts. The vast majority of these lines are noncontiguous, but there are still more contiguous instances of these lines than are found among Prokofiev's S-lines. These modulating lines are also stabilized by two relatively clear, consonant "anchor points" in decipherable key areas. Similar to stable-stable lines, their middle portions may span some degree of harmonic instability, as is typical of Prokofiev's harmonic practice in these two symphonies.

The most significant difference is that they begin and in different keys. In this manner, they suggest a connection with Hindemith's "step-progressions," as elaborated in Neumeyer (1986) and Dahlhaus (1996), and incorporated into Harrison's more generalized approach to

linearity as “Hindemith-lines” or H-lines. As mentioned previously, they are by far the most common line-type found here, making up almost half of the total 119 stepwise linear motions in the outer movements. While all line-types take place over at least some degree harmonic instability, stable-stable modulating lines are the closest to the traditional notion of modulation, wherein one transitions between two key areas; the remaining lines will all involve some degree of harmonic instability to such a degree that they obscure any decipherable key area.

A representative example takes place early in the finale of the Fifth Symphony, during the latter half of the primary theme’s first statement. This theme’s melody and harmony, barring a few chromatic inflections, has largely remained in Bb major up until this passage begins at m.32 (R81-4). The clarinets, playing the theme, land on the mediant at this point, but the underlying harmonic accompaniment shifts to what may be heard as either a major seventh chord on G or a dominant seventh of C (depending on whether one gives prominence to the F# or E# above the G bass). This comes as a much more substantive departure from the tonic key than previously heard in this movement, producing a striking effect, perhaps only somewhat mollified by the clarinet that remains in the realm of Bb major.

After this measure, however, the melody departs the tonic realm as well, introducing E-natural and F# before another surprising tonal shift to the dominant of Db major, which “resolves” to the original Bb tonic. In terms of common-practice harmonic syntax, this passage offers little in the way of a logical progression. However, spanning this entire surprising progression is a discernible linear motion in the solo clarinet. Obviously, the harmony underlying the beginning of this line is not as stable as the Bb tonic chord under its end. However, given the spectrum of overall stability and instability found in the War Symphonies, even this ambiguous G seventh chord constitutes a sufficiently sturdy anchor point to signal this line’s function as a



Example 2.4: Symphony No. 5, IV, P-theme excerpt (mm. 28-36)

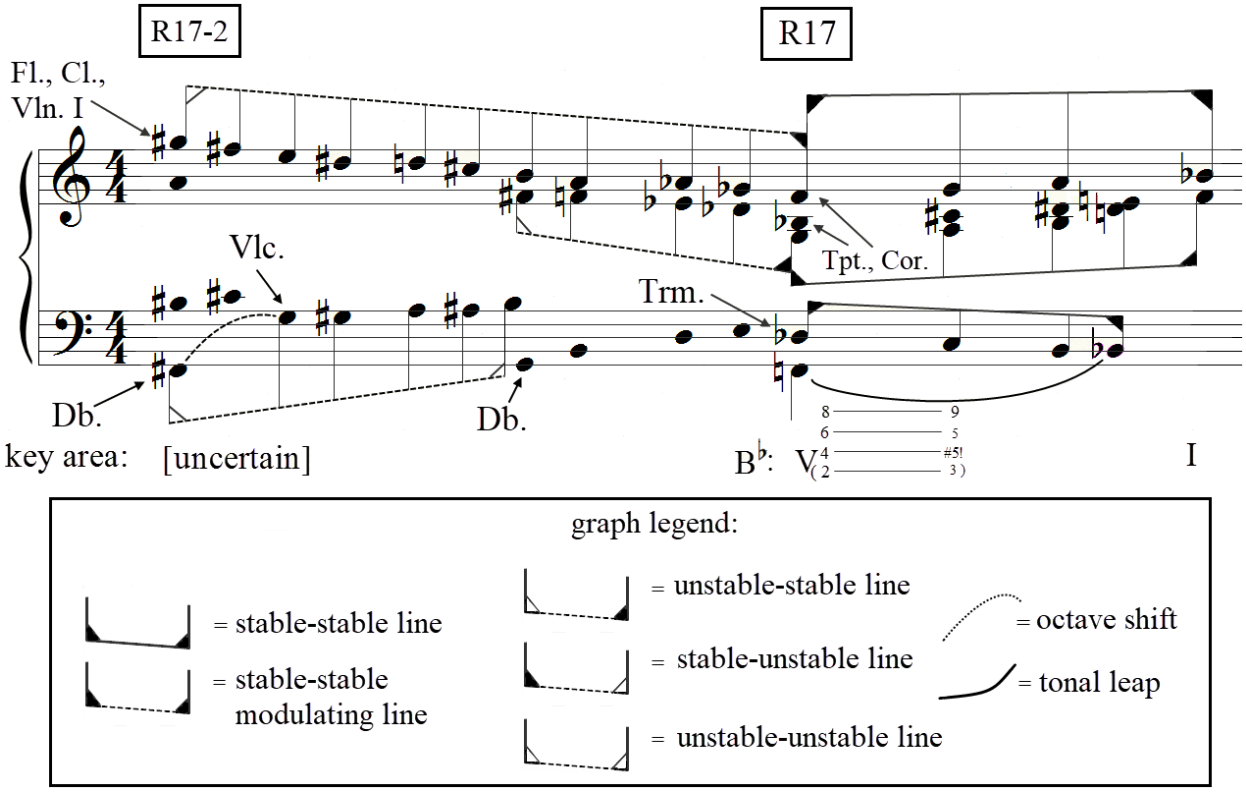
stable-stable modulating line, as opposed to that of the unstable-stable one. Thus stable-stable modulating lines, contextualized within the broader spectrum of Prokofiev's harmonic language, may present some degree of uncertainty at their beginning and endpoints.

Harmonic nuances aside, Example 2.4's H-line provides a linear form of coherence with its directed, upward motion; a coherence that the harmonic aspect of this passage fails to provide. In pointing out this conflict between coherence and a lack thereof, I also hope to build on the existing research of Prokofiev scholars, most of whom either explicitly or implicitly attempt to explain the general impression of this conflict when experiencing his works. Thus far, these examples of linear gestures overriding a non-tonal yet triadic grammar may provide a more specific insight into Prokofiev's ability to forge an expressive language along the tonal/post-tonal spectrum.

The following example begins to engage with those lines that no longer offer a sense of relative stability at their outlying nodes. Instead, at least one—the beginning or endpoint—will occur in a harmonic context whose tonic is unclear, often due to an overall lack of tertian harmonic structure. In Example 2.5, stepwise melodic threads run through the final two measures of the development, ending on the first downbeat of the recapitulation (m. 165, or R17). On that same downbeat, new lines begin. While I will argue for differences in the exact nature of these lines, they provide audible pathways through a passage marked by an ambiguous harmonic character, thereby compensating for the lack of tonal harmonic function.

The first lines occur within a more uncertain harmonic region. One may argue for an underlying tonality of F# major or minor here, especially when considering the scalar outline of the melody. Within this same measure, however, a number of pitches outside this realm (such as the B# in the cellos) undercut the strength of an F# tonic. However, as the line unfolds and the development ends, most instruments stray toward the flat side, while others suggest G major. This passage reveals that Prokofiev's more ambiguous harmonic progressions may at times suggest a tonal origin, through use of near-triadic and scalar lines. Nevertheless, the musical surface ultimately blurs any underlying tonal certainty through a proliferation of non-chord tones and a quickly shifting harmonic rhythm that prevent any one region from stabilizing, even by way of cadential gestures.

Against this uncertainty, the stepwise descent in the flutes, clarinets and first violins (depicted in the top of the graph) outlines a clear, directed motion. By "directed," I mean it articulates a stepwise melodic pattern with a consistent direction. This line also happens to unfold with a rigid rhythmic consistency. Moving from $G\#_5$ to F_4 over the course of two measures, the line reflects the underlying harmonic nature of this passage by changing when the



Example 2.5: Symphony No. 5, I, end of development and start of recapitulation (mm. 163-166)

tonal region moves away from (an already ambiguous) F# major. Subsequently, it does not necessarily offer a goal-directed motion in the same sense that a common-practice melodic line would. It is only in the following two measures (beginning at m. 165, or R17) that a relatively clear tonality emerges. The outer voices on the downbeat of R17, coupled with the Bb major chord in the next measure, outline a decipherable cadential motion in Bb major. Thus, it is only in retrospect that the first line seems to have "resolved" to the dominant scale degree of Bb. From an experiential standpoint, this first line may be interpretable as an unstable-unstable line if the listener does not hear the emerging harmonic stability until after the downbeat of R17. This

downbeat may then signify two different yet simultaneous degrees of stability: the end of instability and the beginning of the return to Bb major and thus to stability.[20]

These latter lines (beginning at R17 and continuing through to the downbeat of the next measure), especially the uppermost one in the trumpet, also proceed in a stepwise manner and apparently resolve in Bb at their conclusion. While the constituent members of this brief ascent are not entirely contiguous nor as rhythmically consistent as the first line, they do take place within a much more stable harmonic region. Even with the non-diatonic motion in the cornets and the presence of Db on the downbeat of R17, the overarching cadential motion helps solidify Bb as a much more stable harmonic realm than the F# major that may have underpinned the beginning of the first line.

In discussing harmony and melody separately, I do not wish to downplay the melody's ability to make harmonic implications. Indeed, the trumpets at R17 make a tonally directed motion to Bb as they articulate scale degrees 5-6-7-8. A stepwise pattern cannot necessarily continue upward here in the same sense it could before R17, since this melody has landed on the stable tonic Bb. The same can be said for the lower line after R17, which also ends on Bb: no A follows, and the tonal centricity of the tonic functions as a harmonic anchor for both lines.

Prokofiev's lines reflect the tonal region(s) over (or under) which they unfold. As stated in Daniel Harrison's discussion of "curvilinearity" (82 – 88, which also borrows from Hindemith's theory on step-progressions and David Neumeyer's work on Hindemith), the harmonic function of such stepwise lines serves as the main criterion for their classification as Kurth lines (K-lines), Hindemith lines (H-lines), or Schenker lines (S-lines).

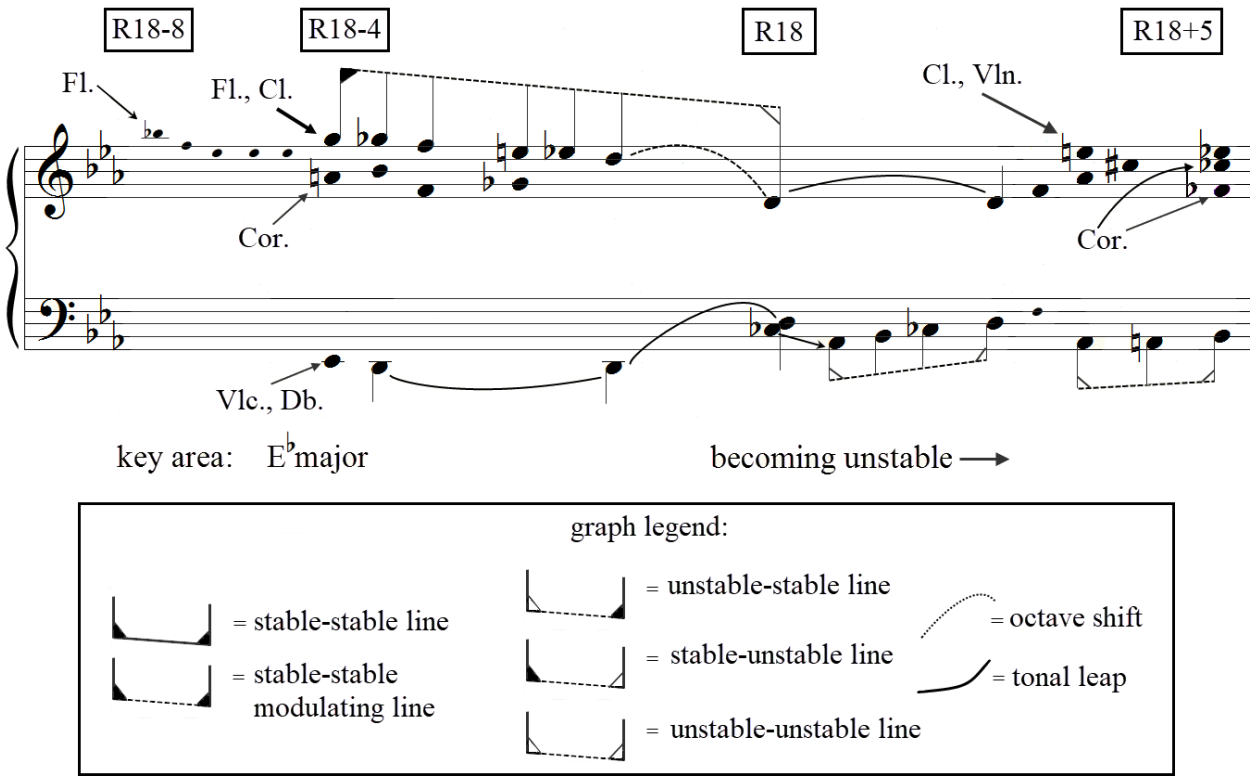
The lines in Example 2.5 seem to fit neatly into Harrison's categories: those in the development are H-lines and those appearing after R17 are S-lines. Harrison leaves a lot of

[20] This observation came about through conversation with Daniel Harrison, November 2, 2017.

flexibility for H-lines to emerge in different ways. Subsequently, some questions remain when considering a composer's use of these lines: do H-lines necessarily need to begin or end over what is at least a relatively more stable harmonic region than the one underlying the middle notes? If they happen to follow a diatonic pattern in terms of their constituent members, but overlie a particularly unstable harmonic passage, are they still H-lines? Do H-lines need to relate in any form or fashion to their harmonic surroundings? Do H-lines take on a certain tonal significance when, in retrospect, they land on a tonally significant region or scale-degree?

I argue that Prokofiev's use of lines helps answer these questions: his H-lines, in participating with their shifting harmonic support, can at least begin to take on a tonal significance when they "resolve" to relatively stable key areas (even if they land on a pitch other than tonic). Both his H- and S-lines provide insight to the varying degrees with which common-practice tonality emerges in his musical language. Although many authors have discussed varying degrees of tonal harmonic progression in his works (Rifkin and Bass showing a largely tonal basis, Minturn showing Prokofiev's less tonal moments), none have fully discussed the linear, horizontal aspects of shifting from one level of stability to another. In this manner I hope to build on the distinction of S- and H-lines by showing how they interact in varying tonal and harmonic contexts.

Example 2.6 touches on both stable-unstable and unstable-unstable lines, which are by far the least common line types found in the War Symphonies. This passage begins at the latter half of a thematic variation on the primary theme in the finale of the Sixth Symphony. At its outset, this excerpt and its first H-line are rather clearly set in the realm of Eb major/minor, barring some chromatic non-chord tones. The line itself remains in Eb major when it ends at R18



Example 2.6: Symphony No. 6, III, variation on primary theme near end of exposition (mm. 203-216)

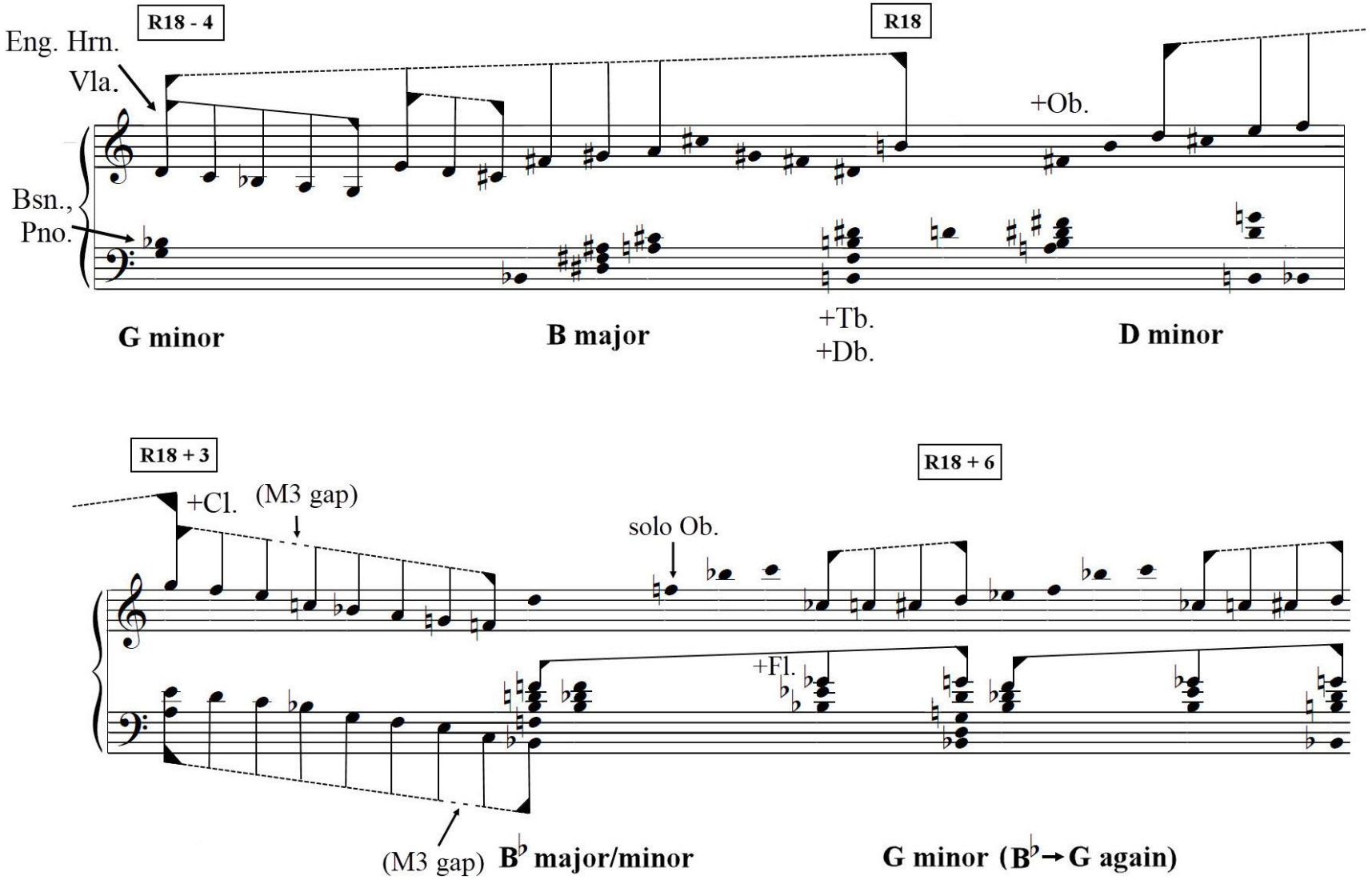
(m.211) on D-natural; the underlying harmonic foundation, however, shifts not to another key center but instead to a place of instability. Tertian harmony is difficult to discern in the following measures, though it is not impossible. Soon after R18, the cornets arpeggiate a D minor triad and perhaps the following C# is meant to convey a leading tone, especially since it occurs over an A-natural in the cellos and basses. However, this fleeting implication does not resolve; C# is pulled down to Cb, the A moves up by semitone to Bb, and the remaining notes move to Fb and Eb, dissolving the D minor implication and confusing any overall sense of tonal stability.

The cellos and basses articulate examples of the remaining category, unstable-unstable lines, as found after R18. The first one, outlining a diminished fourth from Ab up to D, may be

said to at least end near the key area of D minor, considering the aforementioned arpeggiation that follows. However, the Cb in the line makes the arrival of the D—at least at this particular point in time—somewhat dissociated from the key area of D minor. The following line, from Ab through A-natural to Bb, also offers little tonal sense, either in terms of its surrounding harmonic context or the line itself. Nonetheless, coherence may be heard in the line itself, since its directed motion is supported by relative rhythmic consistency. Additionally, all of the lines in Example 2.6 are contiguous, with no intervening elaborative notes between their constituent members. Thus, while they may not offer much in the way of tonal harmonic logic, they do stand out as easily decipherable lines.

Example 2.7 covers an extended passage that brings a number of lines together in different ways. This passage encompasses the first of two statements of a development theme in the opening movement of the Sixth Symphony. Below the staves of this example, annotations show a few key areas that briefly emerge. These "keys" are not necessarily functioning as tonal key centers as much as fleeting moments of triadic clarity that smoothly transition from one to the next, while H-lines help bridge their leaping roots with stepwise motion. It is worth noting that these harmonic realms are always moving by thirds.

Prokofiev's symphonic works often modulate by major or minor thirds, especially between the primary and secondary themes. The first such motion in Example 2.7, from G minor to B major, also shows each member of the two triads moving by semitone (G to F#, Bb to B-natural, and D to D#). In Neo-Riemannian terms, they form a hexatonic pole. The motion in thirds results in parsimonious voice leading on the middleground level, while a number of stable-stable and stable-stable-modulating lines bridge these already-smooth transitions. The near-



Example 2.7: Symphony No. 6, I, development theme (mm. 216-228)

ubiquitous presence of lines is also rare; S- and H-lines appear in less than half of the measures of the War Symphonies. A contiguous dialogue of lines makes for an even more exceptional passage. Combined with the parsimonious voice leading, this development theme suggests a transition: from Prokofiev's more typical quasi-tonal syntax (or motions to distantly related keys that are not related by thirds) to one based on Neo-Riemannian logic and linearity. While exceptional, this passage (along with another discussed in Example 6.5) still may prompt speculation on the role of S- and H-lines. Are they merely the melodic result of distant tonal shifts or are they the active drivers of such harmonic motion?

Zooming out to larger-scale harmony, this entire thematic statement begins and ends in G minor. While no S-line functions to bridge the entire excerpt, one may argue the outlying G minor triads form a sort of harmonic "frame" around the theme's fluid motion through various key areas, each of which constitutes an arpeggiation of G minor (or major). In this manner, while G minor is not prolonged in the traditional, common-practice sense of the word, it does appear to function as a deeper structural framework behind the more foregrounded melodies and transformations of this development theme.

In a similar manner, some lines function on a slightly deeper level than others. The first four measures of Example 2.7 (R18–4 to R18) accomplish a move from G minor to B major under an overarching, stable-stable modulating H-line ascent from D_4 to B_3. Within that span, two shorter, less ornate descending lines serve as elaborations of the first two members of the aforementioned H-line. The first functions as a stable-stable line since it begins and ends in the same key. While it may also function as a straightforward dominant-to-tonic motion in G minor, it nonetheless begins the development theme with a salient descending linear vector that is marked by its diatonic nature. The second short line ends by initiating a process of distorting G

minor and moving on to B major. While its end node is somewhat surprising and not as stable as its opening one, it retrospectively belongs to the emerging harmonic realm of B major and thus constitutes a part of a stable-stable modulating line.

These "nested" lines do not solely function on their own to elaborate one key or span the shift to another. Instead, they also form part of a larger-scale ascent that, by R18, helps confirm the move to B major. While such an emerging hierarchy does not result in a framework as rigorous as the Schenkerian *Ursatz* or motivic parallelism, it nonetheless situates some lines as functioning within the larger-scale motion of others. Indeed, throughout this theme, a number of lines emerge that differ in terms of their stability, measure length, number of pitches, rhythmic consistency, and roles as either thematic or accompanimental lines. Whatever their differences may be, they each feature at least one node that belongs to the outlying G minor triadic frame.

This development theme makes use of triadic harmony with little of the common-practice tonal function that appeared in Example 2.3 and the latter half of 2.5. While Russian theorists account for the ways in which semitonal voice-leading and third-based harmonic syntax may not have been so surprising when these symphonies premiered, Prokofiev may have introduced yet another level of coherence by means of his stepwise melodic structures. As shown here, these lines are quite flexible, not only in their ability to span various triadic centers, but also to begin and end in different keys, or even in different realms of overall harmonic stability.

With this type of linearity in mind, my exploration into Prokofiev's melodic structures will venture into the experiential realm, where lines may exhibit a degree of agency in a virtual, musical environment. Rather than merely reflecting the tonal regions they overlay, lines may then be heard to direct such harmonic shifts, continually reorienting and expanding our expectations for where they may take us as listeners.

The interpretation of linear structures that direct motion already finds precedent in Schenkerian analysis where it is also paired with tonal harmonic motion. With the waning of tonal function in the twentieth century, linearity may have helped to compensate as a tool for coherence. These passages from the War Symphonies feature a number of what listeners may hear as distantly-related key areas sliding in and out of focus as the music progresses through time. Prokofiev's S- and H-lines, while not always present in these works, emerge as goal-directed, graspable threads simply by virtue of their nature as lines. Some exceptional passages even suggest that linearity constitutes the primary logic of motion from one harmony to the next. The following chapters draw on Hatten's framework of virtual agency and Asafiev's symphonism in order to explore how Prokofiev's lines imply (metaphorical) will, agency, desire, goal-orientation, and the subsequent accomplishment or failure to achieve such goals.

Chapter 3: From Lines to Actors: Linearity and Virtual Agency in Prokofiev's Fifth Symphony

The previous chapter introduced S- and H-lines as sources of coherence in Prokofiev's War Symphonies. In this chapter I focus on the experiential aspect of this coherence and its role in a virtual agential environment where musical forces (as per Larson 2012 and Hatten 2012) can be expressive of human agency. After discussing S- and H-lines' ability to exhibit musical forces in a salient manner, I explain the transformation of these latent musical energies into a listener's construction of a human agential expression by way of Robert Hatten's forthcoming work.

MUSICAL FORCES AND LINEARITY

S- and H-lines are relatively short. Among the outer movements of the War Symphonies, such lines average seven notes in length, tend to take up around four measures, and articulate approximately two of their notes per measure. The longest lines in either symphony are S-lines that span the length of a single thematic statement (as opposed to a theme group). Examples include the S-line overarching the first statement of the secondary theme in 6/iii (discussed in Example 2.3) and the lengthy lines of the development theme in 6/i (Example 2.7). These longer lines also bear the most elaborations between actual line members.

Despite these exceptions, most lines remain brief and unfold with either no embellishment or at least less embellishment than that of these lengthy S-lines. Subsequently, most of the examples that follow in this chapter only last a few measures. However short, they still show the beginning stages of an inferential process wherein musical motion is attributed with human-like characteristics. In the final two chapters, I expand on these brief passages by

relating them with other varied statements of the same (or similar) thematic idea within their respective movements. Together, they interrelate as part of an overarching variation technique and as a generalized narrative process. This larger perspective elaborates on the later stages of Hatten's framework (actoriality and subjectivity) as well as Asafiev's approach to musical form as process.

While almost every line's pitch members reflect the harmonic progression over or under which they span, the line itself stands out as an audible, vectored phenomenon among quasi-functional (or non-functional) harmonic progressions. In fact, due to their typical role as part of a melody or thematic statement, I argue that these lines usually constitute salient, melodic voices. This particular kind of melodic coherence (linearity) reinforces S- and H-lines' aptitude for expressing and highlighting the embodiment of Steve Larson's musical forces, especially in terms of their surrounding, extended tonal contexts.

In *Musical Forces: Motion, Metaphor, and Meaning in Music*, Larson defines the three melodic forces of gravity, magnetism, and inertia. These forces are ultimately musical metaphors for physical motion. As listeners, we construct such metaphors based on our own experiences in the physical realm, so that even if music does not move in a literal sense, we experience music as metaphorical, "purposeful physical action" shaped by these musical forces.

Larson discusses melodic gravity first by tracing the gravitational analogues found in "Twinkle, Twinkle, Little Star." The first pitch, C-natural, from which the melody "launches" upward, provides a gravitational "base" or "platform" towards which the following pitches are "pulled." Larson connects this melody with our listening experience by arguing that the energy of the large opening leap dissipates with the descending steps and the subsequent impression of stability that results from these measured, downward motions (85). He refers to this particular

force as a "giving in" to musical gravity throughout the chapter (86–87, 97). Larson mentions that gravity is a less powerful force than the other two (magnetism and inertia), but it still manages to play a significant role on the "global, rather than the local, trajectories of our bodies and other objects" (88). Indeed, gravity plays a global role in the actual, physical world while magnetism and inertia only apply to localized events, people, or objects.

Magnetism, as a more foregrounded musical force, is "the tendency of an unstable note to move to the closest stable pitch," with Larson adding that this tendency strengthens with proximity to the intended goal (88). This particular force can reinforce or contradict musical gravity. For example, consider a C-natural tonic "pulling" its leading tone B-natural upward and away from another stable pitch, such as the dominant G. This is not only because C functions as the tonic pitch; C's proximity to B plays a vital role as well.

Larson defines musical inertia as "the tendency of a pattern of motion to continue in the same fashion, where the meaning of 'same' depends on how that pattern is represented in musical memory" (96). The experience and projection of this force depends on the internal representation of patterns (his example involves metrical groupings and the different subsequent pattern projections they can entail). Larson references a number of existing scholarly works on inertia and builds on them by applying their principles to a broader spectrum of musical phenomena. For example, he mentions Narmour's implication-realization theory and its focus on smaller intervals, then situates his theory of musical forces as expanding inertia's reach onto larger spans. He also discusses Hippel's "step inertia," limited to "note-to-note connections" as opposed to Larson's more contextual approach. Hippel's inertia involves a number of possible internal representations of patterning that lead to the impression of music's inertial force. Larson

then points to inertia's ability to "carry motion beyond the points of stability to which other forces draw objects."

MUSICAL FORCES AND VIRTUAL AGENCY

Hatten (2012) makes the agential implications of Larson's theory explicit by first framing his three musical forces as constraints which help to construct a virtual environment. However, these forces do not quite capture the expressive, agential energies of a melody within that environment. With regard to agency, Hatten begins by discussing the degrees of freedom a melody may exhibit, specifically when it does not give in to musical forces. An example may include a large upward leap away from the tonic. Such a leap requires a different sort of energy than that which is addressed by gravity, magnetism, or even inertia. This is an initiatory energy that may eventually succumb to its surrounding musical forces, but still expresses a metaphorical or virtual freedom from those forces.

When one considers the source of this initiatory energy as a virtual one, then one may infer a virtual agent with the capacity to act, employing a "hitherto-unaccounted force necessary to overcome the inertial stasis of the first pitch" (Hatten 2012, 5). Specifically, this human-like embodiment enables a listener to reconstruct an interpretive physical environment based on the musical forces at work in the virtual, musical one. Additionally, agential melodic energy may act against or along with its environment, perhaps as a subject or protagonist.

After closely linking agency and musical forces, Hatten expands on each one in a manner that draws out their latent agential expressive abilities. First, he reframes inertia as a phenomenon that is not so much a musical force as it is "the result of the momentum achieved by an independent agent." Hatten shifts the focus to this momentum, defined in the physical realm

as the "strength or continuity derived from an initial effort." In the virtual musical environment, this implies that "there must be some source of energy capable of overcoming initial stasis," which Larson's inertia does not account for.

In regard to the remaining two forces, gravity and magnetism, Hatten does not reframe or refine their role in a virtual environment (as with inertia) so much as he expands on them. Gravity's force, understood as a more global one that Larson says is less powerful than the other two, exerts a ubiquitous force; even in the absence of inertia and even on a relatively stable scale degree (other than tonic), gravity still ultimately functions as a virtual platform in a tonal work. Hatten asks whether this is the only such large-scale force at work once we focus on a melody's role as an agent.

In the physical world, gravity may limit our own energy and motion, but our kinetic energy also encounters resistance by way of friction. For example, the drag exerted on a moving vehicle, both in terms of air resistance and the friction of the road on its tires, works to slow it down. Subsequently, it requires a constant exertion of energy to remain in motion. Hatten argues that a similar, "constant infusion of agential energy is required to counteract environmental friction, in order to maintain a given motion." Since this is a virtual, musical environment, the same constraints of road/tire friction and air drag do not necessarily apply (nor are such constraints quite as ubiquitous). Instead, Hatten points to the examples of a pedal point or oblique contrapuntal motion, both of which would "[create] a drag-anchor effect on [a] rising melodic line, which must invest extra agential energy in order to not only climb, but now struggle upward" (11).

In fact, this drag-anchor may be inferred by the listener not only as an environmental constraint, but also as another virtual agent alongside the primary melodic one. Hatten's focus on

virtual agency helps expand the role that musical forces can play in our musical experience: in understanding a drag-anchor to be another agent, we move from the virtual environment "to the more complex realm of a contextual situation." In other words, "instead of friction … we might simply interpret agential conflict as the more appropriate analogy" (12).

Hatten expands on magnetism by introducing the counterpart to magnetic attraction: repulsion. This phenomenon requires two magnets in order to be illustrated, subsequently "an analogue of repulsion in music presupposes two agents possessing a reciprocal magnetic power." The primary example is a dissonance that repels one of two pitches, "[forcing] it to move in an opposite direction from the initial agent" (15). The 2-3 suspension serves as the prototypical repulsive motion, wherein the upper of the two voices (and the more stable one) repels the lower, dissonant voice toward another stable scale degree a step below (thus the motion from the dissonant interval of a second to that of a consonant third).

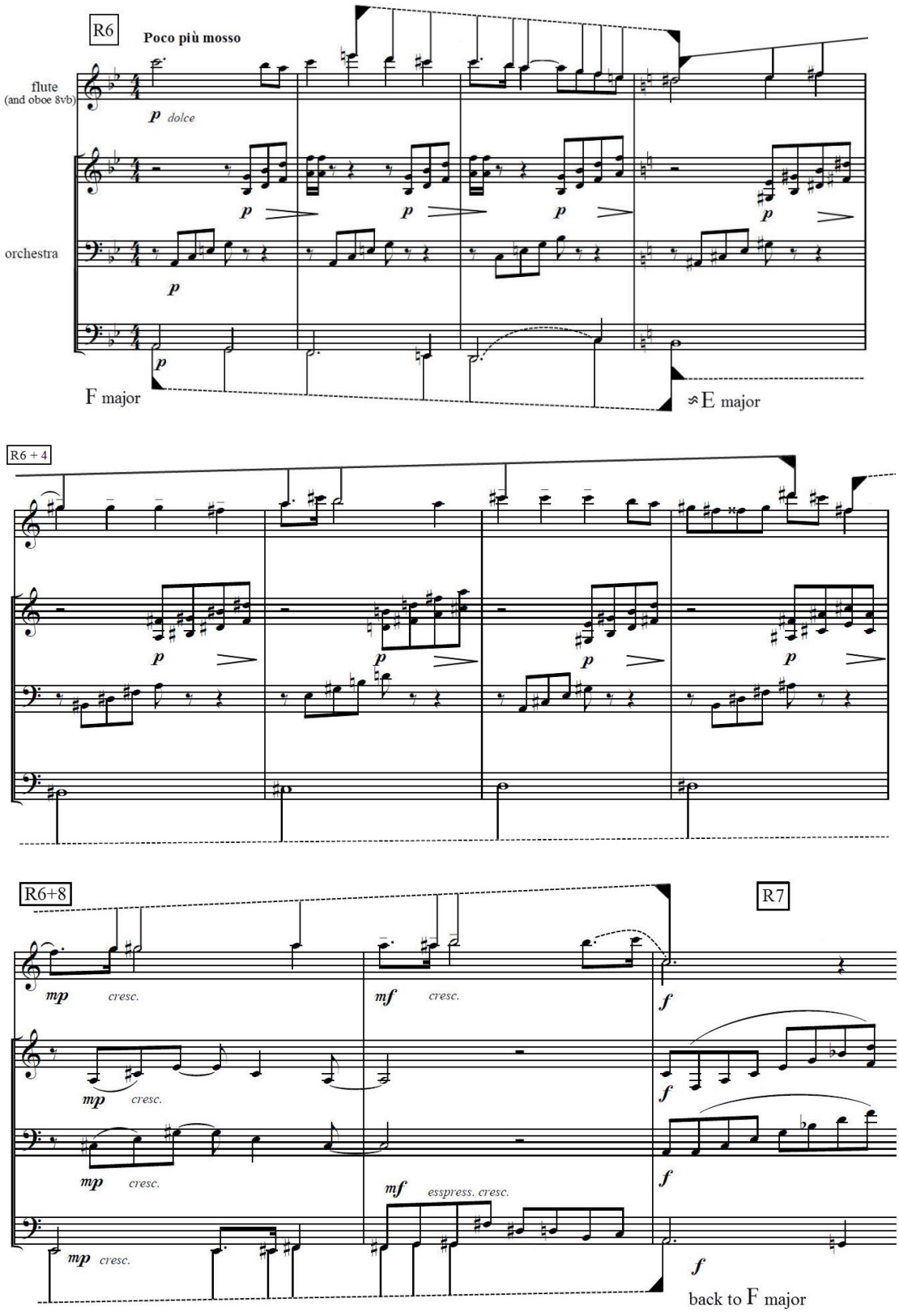
Hatten ends the article with a discussion of how all of these forces may interact. A steady descent towards a given tonic and the eventual impact with that gravitational base brings considerations of gravity and inertia to the fore (here inertia is understood as "sustained agential momentum without any braking or acceleration" (18)). Once the descending motion reaches the tonic, it may do so in one of three ways. The first is a hard impact, felt as a simple and direct stop on tonic. The second would include a "rebound," such as a brief ascent to the supertonic and quick return to tonic. Finally, a "permeable platform" may be inferred if the descent manages to briefly break through the tonic to the leading tone and then quickly return (this action would imply a degree of magnetism as well). Additionally, a descent "may be modified by agential intervention – for example, by some kind of willed braking," like a decrescendo, ritardando, durational expansion, motivic liquidation, etc. (19).

Inertia and momentum are particularly relevant considerations for linearity, which all combine to create a virtual "vector" of direction and force. As they occur, S- and H-lines articulate a directional pattern, which may result in the formation of listener expectations for that pattern to continue. Depending on the tonal realm(s) underlying and inflecting those lines, the same gravitational tonic base that began the line may reemerge at its end, or it may shift to a new one (this is the difference between stable-stable lines versus stable-stable modulating ones). Assuming an instance of a stable-stable line, however, does gravity's role change when the line briefly moves to a distant key area along its way between the two more stable nodes? How does that gravitational force function (and when does it emerge or fade) in unstable-stable and stable-unstable lines, where one of the line's nodes resides in an area of tonal instability? In the absence of a gravitational base, as in an unstable-unstable line, does linear inertia emerge as the sole force underpinning it?

In regard to momentum and its agential implications, does its role strengthen more so with contiguous lines? Can momentum still play a role in some of the longest, most elaborated lines? Does the strength of a line's momentum wane if the tonal center shifts away and, if so, can it be regained if the new tonal center remains for long enough (and how long is enough)? Perhaps it is momentum that emerges as a more consequential force than gravity in Prokofiev's War Symphonies. If so, it can help smooth over the numerous, abrupt gravitational shifts, helping lines function as coherent threads among a less-than-coherent harmonic syntax.

PROKOFIEV'S FORCES, ACTANTS, AND AGENCY

One S-line and four H-lines that unfold during the first statement of the secondary theme in the opening movement of the Fifth Symphony begin to answer these questions (see Example



Example 3.1: Symphony No. 5, I, first statement of secondary theme (mm. 54-64)

3.1). Beginning in an almost completely diatonic F major, two H-lines have emerged by the end of the second measure. As it descends, the melodic line begins to build momentum which was initiated by the upward leap to E_6 (the same note that starts the line) and the expectation that it will "fill the gap" with a descent. This momentum carries the expectation that its downward trend will continue, but not indefinitely. Given the harmonic context of this line, pitch-class F is understood to function as a sort of gravitational "floor" which has the ability to stop the line. At first, once it passes through this virtual F "platform" at the end of R6+2 (m. 56), one may speculate that the line will either return up to F (Hatten's "permeable platform") or continue down an octave to the next one. Instead, Prokofiev surprisingly ends the line on D# and moves the gravitational center itself down a semitone to E major at R6+3. In this manner, the momentum of the descent overcomes the gravitational (and magnetic) pull of the F tonic to not only permeate F but establish a new key center.

The bass line goes through a similar process with a few subtle differences. Beginning on the median of F major, it passes through its gravitational tonic floor earlier than the melody does. This motion through the tonic, along with the continued descent, projects a momentum that will continue until it reaches another stable pitch such as the dominant or the tonic lying an octave lower. Like its melodic counterpart, this line avoids such a stable landing point, remaining in F major until its final node, when it shifts to E major by way of the B-natural on the downbeat of R6+3.

Considering both the melody and bass, a foreground counterpoint emerges between these two lines in similar and parallel motion. Together they act as a linear scaffolding, directing the passage downward toward a surprising, distantly-related tonal shift that is nonetheless accomplished with minimal voice leading work at R6+3. They also intensify the abrupt shift to E

major by moving in parallel 10ths to the downbeat of R6+3. This parallel motion only appears after the bass leaps upward in its octave displacement to accent the motion that both lines undertake simultaneously. I will discuss contrapuntal S- and H-lines in greater detail both later in this chapter and the next, but for now, it is worth noting that the simultaneous use of lines intensifies the musical momentum if by no other means than by adding musical "mass" to the overall descent. Two bodies or objects moving downward, linked together by their appearance in similar and parallel motion, draw attention to this foregrounded descent. They do not necessarily constitute the same virtual object (or, as I will discuss below, the same virtual agent), since they move somewhat independently, reside in different registers, and are played by different instruments. Nonetheless, they may constitute two different objects with a similar trajectory, amplifying the significance of the downward motion and subsequent reversal at R6+3 along with the surprising shift to E major.[21]

However, this E major is not as stable as the F major heard previously. R6+3 contains an A# not as easily explained as the passing C# in R6+1. This arpeggiation, along with the B in the bass, may briefly insinuate B major. However, given the A-naturals in the next few measures, as well as the chromatically ascending bass line and lack of clear cadential rhetoric, I argue that measures R6+3 through R6+9 are thoroughly based in E major.

For the listener, the opening melodic line's end on D# at the downbeat of R6+3 is likely a surprising moment. At first it is unclear whether the D# functions as a surface-level coloristic expression or if it signals a key change. It is only after the following few measures that the move to (mostly) E major is confirmed. This key change takes place over time in an analogous fashion to tonal direct or phrase modulations, even though it lacks the same cadential rhetoric. Of course,

[21] As I explain later in this chapter and the next, this "similar trajectory" of downward motion constitutes a virtual *actant* in Hatten's theory as a musical event inferred as moving through a virtual environment, in effect combining the two lines into a singular entity.

countless passages in common-practice works make use of lines working their way through (or over) modulations. However, Prokofiev's first line in Example 3.1 conveys an expanded sense of tonality when it invokes the expectation of landing on F only to end on a surprising D# and shift the key center to a distantly-related E major.

The virtual-environmental implications made by this line include an accumulating momentum, a magnetic pull towards the tonic F (as it nears the F_5), and a gravitationally reinforced descent (although a sense of "giving in" to musical gravity is true of all descents and constitutes a rather diffuse, unmarked force). These musical forces aid in the metaphorical interpretation of these lines not only as virtual actants but also as virtual agents given the easily inferable metaphor for these entities as undergoing or enacting actual, physical forces in a human-like manner.[22] An analogue for intention (to end on F) and the subsequent redirection to E major may be interpreted in human-like terms as having "gone too far" past a goal or as purposefully undermining one. It may even evoke speculation regarding Prokofiev's intention to surprise the listener.

In making this argument, I do not imply that this is necessarily the composer's intention, nor would I dismiss a hearing in which one may interpret the line as a passive agent (bending to the will of a more diffusely constructed, external harmonic agent that changes keys from F to E major). Instead, I privilege the line as agent because of its melodic salience and its ability to take on metaphorical, human-like traits as it acts within the virtual environment of F major (voice-leading may be understood to direct harmony as much as harmony dictates voice-leading).

[22] To briefly review the four stages of Hatten's theory of virtual agency in music as discussed in chapter 1, they begin with (1) the inference between an actual, sounding event and the progressive virtualizing of that event as an **actant** (the continuous shaping through time of that event). Actants, by way of progressive embodiment, are then inferred as (2) virtual human **agents** (the ascription of intention, identity, or virtual acting). Agents are progressively fictionalized as (3) virtual **actors** "in a virtual story, drama, or narrative" (here aspects of conflict and outcome, dramatic and dialogical interaction come into consideration). At the final stage, virtual actors become progressively internalized as (4) an overarching virtual **subjectivity** (parts of a larger consciousness), enabling listeners' "engagement with their own experiences as negotiated identification").

This action may be interpreted as a willed motion through the implied tonic to a new harmonic plane, especially considering the melody's rhythmic acceleration towards the end and its lengthy stay on D#. This implicates an agent that can work against the F major virtual environment's tonal constraints (the gravitational and magnetic pull of its tonic note). A degree of freedom exhibited by the linear agent thus further differentiates it from an imagined alternative where the line simply ends on F and helps confirm the preexisting key. In this alternative line, a sense of virtual agency is not implausible so much as it is unmarked since the line would simply complete its implied descent. Furthermore, the contiguous nature of this line's unfolding may make it easier to interpret as an agent (as opposed to non-contiguous lines). In other words, a line is easier to hear as a line when it unfolds in a near-scalar fashion, which may draw attention to a surprising harmonic trajectory. However, as I will discuss later, noncontiguous lines can embody a greater variety of agential motion and express an even more robust sense of virtual human action.

The subsequent melodic line, which begins on the same D# that ended the previous line, is shown in Example 3.1 as spanning R6+3 to R6+7. It reverses direction and, with each of its total eight pitch members residing in the realm of E major, articulates an S-line as opposed to an H-line. The first four steps all sound contiguously and relatively quickly (within five beats). Once it reaches the fifth member, however, the line's progress begins to slow and more elaborative gestures emerge which decorate the widening spans between line members. The line's upward progress briefly falters in R6+4 (moving down a whole step to F#) before it quickly jumps up to the next line member, A-natural.

In what is perhaps a compensatory or foreshadowing gesture, this A moves through an appoggiatura-like figure to C# before landing on B (even though C# is in the bass). Other

escape-tone-like gestures follow as B makes its way up to C#. A rather elaborate redirection takes place between the final step of C# to D#, when a downward line (itself an H-line) reaches F# before making a brief upward turn, then leaping all the way to D# in R6+7. On one hand, this last gesture seems to briefly give up on the upward ascent and initiate a new linear motion. On the other hand, it may also occur as a step back in order to better leap forward in an attempt to accomplish its last effort upward. At the last minute, it musters the strength for a perfect fifth leap up to the final note of the line, completing the overall octave-wide trek begun four measures earlier.

These varied detours from the line's progress give the impression that this second line must work harder in order to finish articulating its overarching octave span than first line did. Perhaps this additional effort is warranted by the relative ambiguity of E and B major in these measures. Both the second line itself and its linear elaboration in R6+7 do not carry the same strong tonal implications that were heard in the first line, due to the slightly ambiguous nature of this passage.

However, even with the B#'s in R6+4 and D-naturals in R6+6, there is still a great deal of triadic harmonic structuring throughout this passage. Additionally, the rising H-line remains in E major exclusively, thus giving it some degree of tonal coherence in its drive up to E (it fails to articulate this implied tonic at its end, but it is worth noting that the line starts by moving from D# up to E and, as I discuss later, the bass line also moves from B up to E). As an ascending line, it also fights the global gravitational tendency to descend, a struggle made easier by the fact that no pedal or pedal-like presence in these measures emerges to create a deeper sense of virtual "drag." Even so, the line's continued progress requires some form of continual exertion in order to maintain its rising trajectory, which implies a more effortful struggle upward.

Does this second, noncontiguous ascending line still garner a sense of momentum and, if so, is it weaker than that of the first line? I argue that momentum is still present, given the E-major tonal implications of the passage. The line's noncontiguous nature may make the sense of momentum less salient, but it persists. The ascending line-members produce a sense of increasing tension, and the temporary departures from the scale for the elaborative gestures may serve to heighten the suspense regarding when the line will finally end (although this expectation would be tempered by the sense of magnetism around the tonic). A slow-burning, patient ascent builds a different kind of tension than a quickly rising figure, and the emergence of a foreground or middleground linear structure could appear as a more deliberately planned gesture than a surface-level one.

In what may be an effort to reattempt the climb to E, a third melodic line begins right away at the end of R6+7 on F#. Though this line articulates its members contiguously, it also proves unable to accumulate the same strong tonal implications of the first line (the one in F major). Its lengthier rhythmic motion slows its upward drive, which is surprisingly cut short by a sudden octave drop to C natural between R6+9 and R6+10, ending the line on its first note outside of E major and returning the theme to F major as it prepares to restart for its second statement. Both this line and the first one manage to accomplish a key change at the last minute in a surprising fashion, and both occur as easily decipherable melodic lines in a clearly homophonic texture. However, this last line's modulation is not quite as striking as the one in F-major. This is likely due to a weaker sense of magnetism, which is the result of a less diatonic harmonic context.

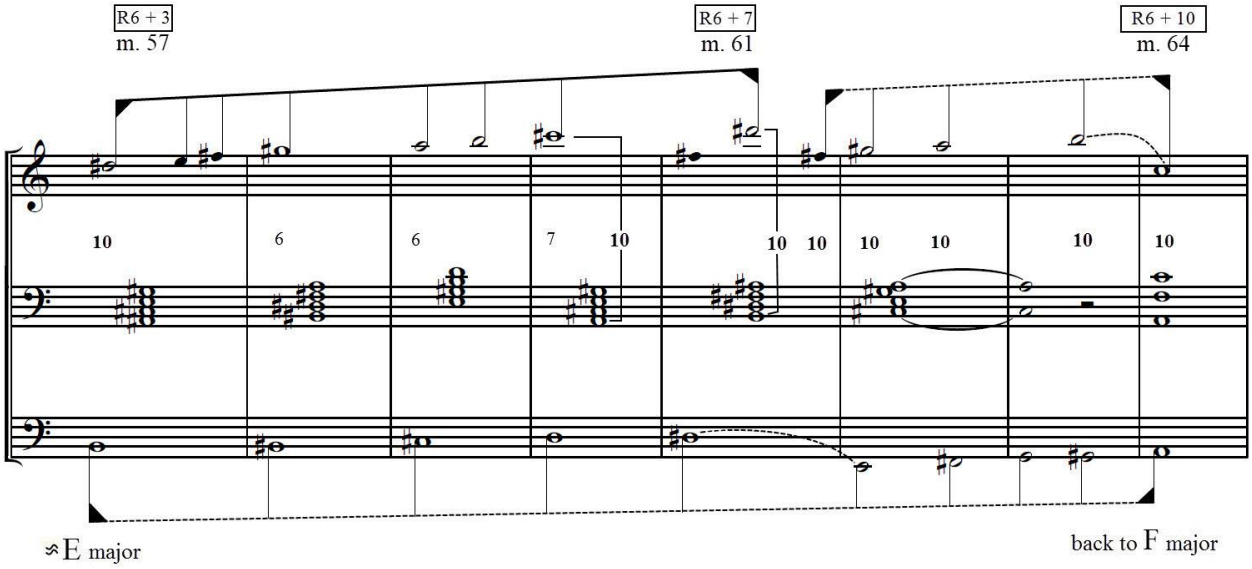
As Larson claims, magnetism is a force which grows stronger based on a note's proximity to its intended target. In the first line, the tonic F was sounded, then bypassed, and the

line remained in at least somewhat close proximity to its goal. However, this latter line stops a major third below its E tonic pole at C-natural, or lowered scale-degree six, a downward-trending instance of mode mixture. Thus, the ascent's abrupt cutoff before it reaches E does not go so far as to imply the tonic quite as strongly as the leading tone or supertonic would. Besides halting the upward momentum and denying a goal, the drop to C natural also manages to accomplish a rather clear return to the tonic realm of F major, making this another stable-stable modulating line. As discussed in chapter 2, stable-stable modulating lines tend to drift from their opening key area in a more gradual manner as opposed to abruptly shifting harmonic realms just as a line is ending. Example 3.1's lines help illustrate the striking effect these abrupt tonal shifts may have as they play on expectations constructed via musical momentum, magnetism, and even gravity.

The lengthy, second bass line spanning most of Example 3.1 places both the abrupt, surface-level harmonic shifts in this passage as well as the larger move from F to E major (and back) into a broad linear perspective. These harmonic motions take place over a steady ascending linear vector that makes its way from B_2 up to a downward jump (from $D\#_3$ down to E_2) that then continues the overall stepwise ascent back up to A_2. As a bass line, it is not as salient as the melodic ones, but it still functions to increase tension and upward inertia throughout most of the S-theme.

The ascending bass motion also adds a contrapuntal dimension to the latter two melodic lines, which generally move in either parallel or similar motion with the bass. In Example 3.1A, I isolate and abstract this contrapuntal motion to show an emerging pattern of parallel 10ths toward the end of this theme. The outer voices are depicted on their own respective staff while the inner voices are condensed into closed-position sonorities between them. The numbers between the staves refer to the intervals between the outer voices except two instances where

brackets show parallel motion between the top line and the lowest inner voice. A broad look at this contrapuntal motion reveals that both voices ultimately move down a step over the course of this passage thanks to a single downward leap halfway through their stepwise ascents.



Example 3.1A: contrapuntal scaffolding of latter half of secondary theme from 5/i (mm. 54-64)

Due to their oft-parallel motion, it is perhaps not all that surprising to see the same interval emerge between the outer voices for most of the passage. For that interval to be a parallel 10th in the second half, however, brings ideas of Schenkerian contrapuntal scaffolding to mind, especially as a strategy which permits the suspension of certain tonal syntactical norms. A total of seven parallel tenths provide a linear scaffold around this progression in (almost entirely) E major. The exception occurs in a three-measure passage with a parallel set of sixths and then a single seventh, when the top voice moves through two additional steps before the bass moves again.

I previously discussed the melodic line spanning R6+3 through R6+7 as having a different kind of momentum due to its noncontiguous articulation. The bass line also garners

momentum on a deeper scale, but as an almost entirely contiguous line. By contrast with the melodic line, its relatively expanded length and slow pace set it apart as guiding surface-level gestures in the general direction from the surprising E major modulation back to F.

While I cannot answer questions regarding Prokofiev's intentions composing this passage, the outlying contrapuntal scaffolding shown in Example 3.1A may suggest an early structural design that was later elaborated with both inner voices and ornamental melodic figures. Allowing this speculation, it would follow that these lines and perhaps others are not reacting to shifting tonal planes as much as they are directing them and thus acting as willful agents capable of their own kind of virtual agency.

PROKOFIEV'S MUSICAL GRAVITY

To what degree are gravity and tonal stability linked in Prokofiev's quasi-tonality? At first, one may hypothesize that atonal works, without an established hierarchical pitch center, would lack musical gravity. This is not necessarily the case,[23] but gravity remains largely dependent on some sort of pitch-centric harmonic structure within a work. While Prokofiev's War Symphonies do not establish a pitch center in quite the same manner as common-practice tonal works, each movement begins and ends in the same key. These symphonies may move to more distant harmonic realms, and they may do so more abruptly and frequently than traditionally tonal pieces, but they never articulate more than a handful measures without at least suggesting an underlying triadic harmony or key at work. In other words, frequent tonal shifts may weaken an overarching sense of harmonic stability, but triadic harmony—however distantly

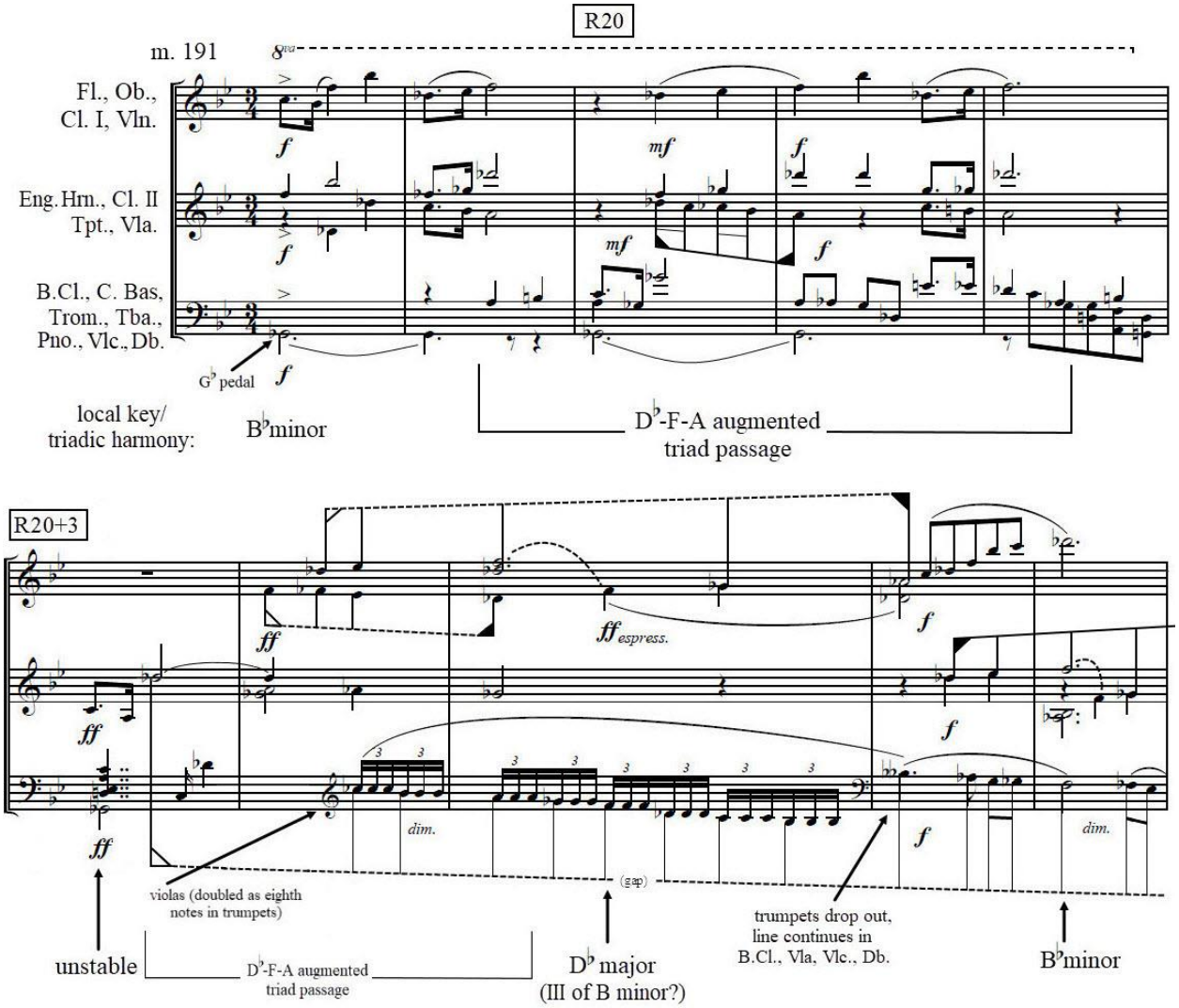
[23] Hatten (2012) discusses the potential for gravity to assert itself in an atonal work by way of "a locally asserted pitch." Thus, gravity would not be present at a global level such as that found in common-practice tonal works, but may emerge in shorter passages by way of a given pitch's repetition or emphasis (22).

related to the tonic key—is never far from being reestablished on the local level during unstable passages.

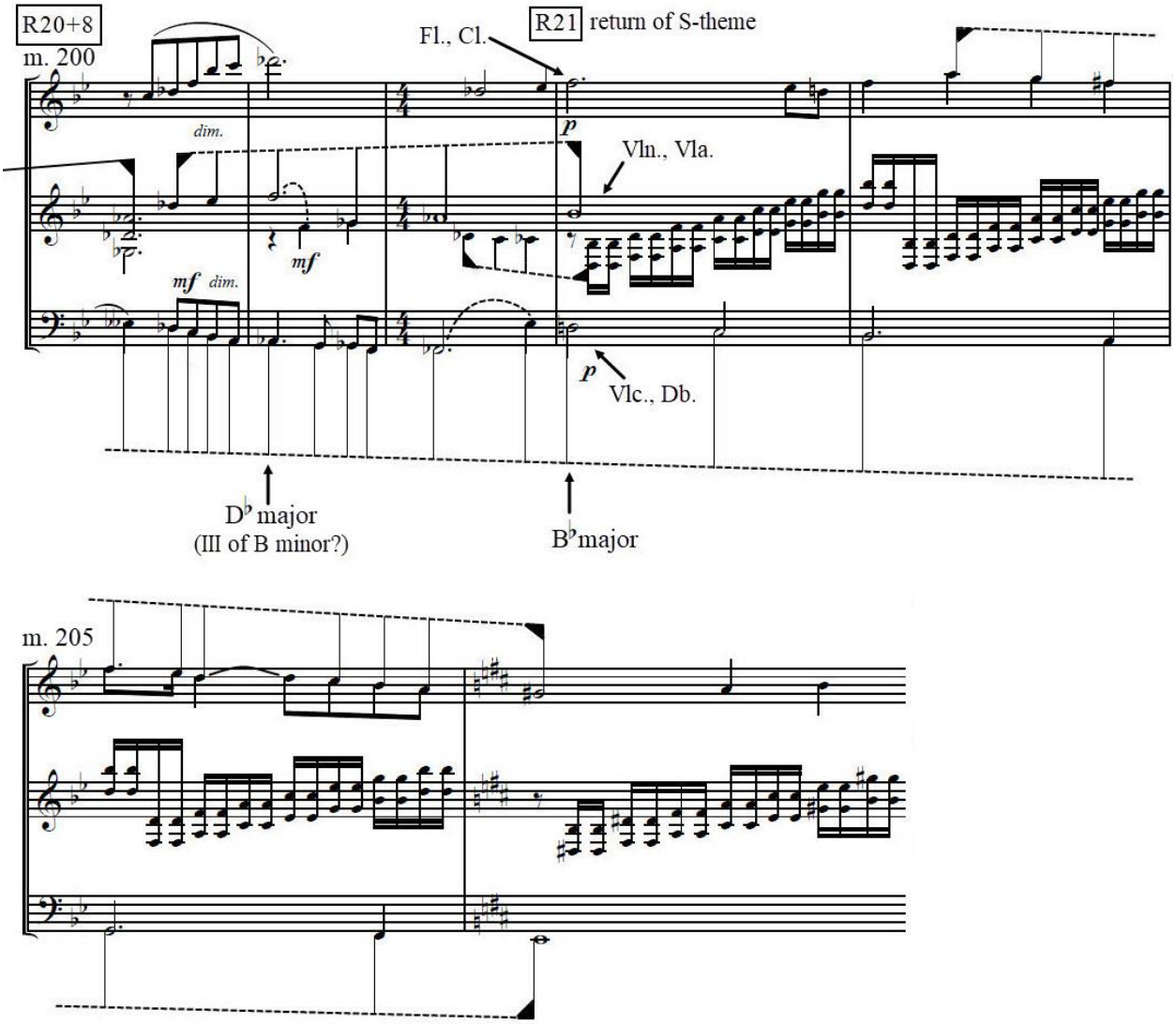
It is in this manner that Prokofiev constructs a particular sort of gravitational state: one which is certainly discernible, but often disorienting, as it frequently shifts its platform from one pitch to another. In turn, we may infer a virtual harmonic environment which tends to disorient the virtual agent. Is the agent itself moving through this environment or does the environment itself move, reorienting the agent in a new location above (or below) its new platform pitch? Does the agent (as an S- or H-line) play a role in directing this harmonic/environmental change? In any case, musical gravity, as a metaphor for musical motion, brings a new perspective to questions of harmonic stability that traditional notions of tonic/interval relations and scale-degree pivoting do not address, especially with regard to a listener's reconstruction of a given melody's trajectory through this particular kind of harmonic environment. The following example engages with an especially lengthy line that begins in an area of harmonic instability; this example will help explain a particular form of gravitational disorientation in regard to musical forces and virtual agency.

Example 3.2 takes place during (and a few measures after) the transition section between the primary and secondary themes in the recapitulation from the opening movement of the Fifth Symphony. Beginning in the minor tonic (Bb) two measures before R20, this passage becomes relatively unstable before reaching a dissonant climax in R20+3. Afterwards, a rather lengthy unstable-stable line articulates 34 pitch members over twelve measures and two octave shifts before ending halfway through the return of the S-theme. Over the course of this long H-line, other lines emerge overhead as part of a recurring motive from the P-theme.

This motive first receives some fragmentary treatment in the first system of Example 3.2 (R20-2 through R20+2). Bb minor underscores the first two measures, but the following variation tends to emphasize (and even outlines) an augmented triad on Db. While a few Bb's still occur, R20 through R20+3 manage to tonally destabilize this passage. However weakened a tonal hearing may be, the first line in this excerpt emerges at R20 by way of the English horn and trumpets.



Example 3.2: Symphony No. 5, I, transition between the primary and secondary theme in the recapitulation (mm. 191-206)



Example 3.2 (continued)

Outlining an augmented triad may not be entirely suggestive of a key area, but this line manages to stay within the realm of Bb minor alongside the current emphasis on a Db-F-A chord. I argue that this may function as a stable-stable S-line in this manner: Prokofiev's expanded tonality often remains triadic even if it sidesteps the current key. This line, whether or not it unequivocally occurs within Bb minor throughout its descent, still expands a single triad in an analogous manner to linear prolongations in the common-practice.

Indeed, Harrison allows for this flexibility in his explanation of S-lines, pointing out that they do not necessarily prolong chords so much as they "horizontalize an underlying tonality frame, with the beginning and end points of the line belonging to hierarchically important pitches in the local overtonal hierarchy (or, in a smaller scale, to notes of a local chord)" (83-84). While Harrison does not explicitly mention whether augmented triads may constitute such a chord, this S-line suggests that even somewhat unstable harmonies may be expanded upon in this way. The instability begun by the augmented chord reaches a loud climax in R20+3 (m. 196) with the addition of C and Eb, resulting in a surprising dissonance that destabilizes the Bb's role as the tonic.[24] Later in the measure, linear motion appears to take over, although Db and F seem to be given more emphasis by way of orchestration and metric placement in the next two measures, perhaps suggesting Db major as a new key center, or at least as the mediant of Bb minor key.

It bears repeating that Prokofiev's harmonic instability is not measured with an absolute yardstick; rather, it emerges along a broad spectrum. While even the downbeat of R20+3 may be heard as an overcrowded Bb minor, it remains more dissonant and tonally ambiguous than most harmonies in the War Symphonies. As a lengthy H-line begins descending from the Db_5 in this measure, I argue that it does so within a harmonic context that is relatively unstable. Once it ends in R21+3 (at the end of this example), it does so as part of a stable A major environment (although this key area is arrived at abruptly in the final measure of this line); thus, I interpret it as an unstable-stable line.

[24] It is also possible to break this harmony down into a $vii^{o4/2}$ with an added D in the realm of Bb (whether major or minor is unclear at this point), and thus make some tonal sense of the downbeat of R20 + 3, but it does not resolve to a tonic chord and sounds as a surprisingly dissonant simultaneity relative to its surroundings and the overall harmonic lexicon of these two symphonies. The same goes for an enharmonic interpretation, reading Gb as F# and hearing a dominant flat-9^{th} chord with a Db bass. Subsequently, this is not an entirely destabilizing moment, but it does signify a markedly dissonant, uncertain moment in this movement.

As mentioned previously, this line lasts unusually long with 34 pitch members when the average line length in the War Symphonies averages around four notes. While typical of most unstable-stable lines with its contiguous unfolding of line members, it remains rather atypical of lengthy lines, which almost always involve some degree of elaboration. Nonetheless, each member of the linear span does not stand on entirely equal footing in terms of rhythmic duration or stability, given the shifting harmonic contexts along the way. R20+3 arguably represents the only rather unstable point in this long line. While the following twelve measures eventually move from Bb minor/Db major towards Bb major and finally A major before the line ends, no other measure sounds as unstable in this loud dynamic.

This unfolding stability emerges in other lines that appear in the upper voices. The first is shown as the inner voice in the top staff of R20+4, played by the English horn, bassoons, and horns, from F down to Db. This short line begins and ends in the same Db augmented triad realm that the lengthy bass line does. However, both of these lines begin before the Db-F-A harmony is firmly reestablished. The dissonant climax of R20+3 takes place as such a rare, unstable moment, that any following harmonic stability—especially one centered around an augmented chord—needs time to regain a sense of cohesion. This reestablishment likely takes place by R20+5 (m. 198), and it is accompanied by a slight thinning of the texture, which is why I argue that the middle-voice line which began on F manages to end in a stable sound environment.

The same overall trajectory may be argued for the top line that begins on Db in R20+4, although it ends in a much more stable, Db major (or III of Bb minor) harmony, since the A-naturals are entirely replaced by Ab from this point forward (until the modulation to A major at R21/m. 203). This unstable-stable line also begins a series of three ascending, stepwise motives in this passage that form a contrapuntal wedge with the still-unfolding bass line. The following

two such lines occur in R20+6 through R20+8 and then R20+8 through R21, both appearing over the course of the still-unfolding bass descent. One significant difference in the third line is the addition of a sixth pitch member, which finishes the move from Db major to Bb major for the beginning of the S-theme's reprise in the recapitulation. Other than the third line's slightly extended length, all three of these rising lines begin and end in the same register and on the same pitches. Also, while they all ascend, they also include an octave transfer that results in their ending below where they began (Db_5 down to Ab_4 or Bb_4). I argue that these lines make for a "motivic" gesture because they each vary the primary theme's ascending third jump and downward sixth leap. The variation takes place by way of a passing note through the upward third (on F_5) followed by an octave transfer down before moving back up to the sixth below that F (on Ab_4).

The lengthy H-line underlying these motivic, higher lines does not produce any significant intervallic patterns.. However, the beginning and endpoints of the upper lines produce some relatively stable simultaneities with the bass line along with other, accompanimental voices. For instance, the endpoint of the first line on the downbeat of R20+6 produces a brief major seventh chord on Bbb. If heard in the overall context of Db major, this may sound as a bVI^7 chord or as an altered dominant of the Neapolitan ("altered" because it constitutes a major seventh chord and is not dominant in quality). Indeed, when this line ends on the downbeat of R20+8, a Neapolitan-like chord occurs (with an added Ab, or perhaps the Ab acts as an 11th above the bass). Finding a following dominant chord in Db proves somewhat difficult, but the Db 6/4 chord on the downbeat of R20+9 makes for a quasi-tonal resolution of the Neapolitan-like chord even if the lowered supertonic does not directly resolve to Db (it does in the previous measure, but not when the 6/4 chord sounds). The last of the three motivic lines produces an all-

Db simultaneity with the bass line and upper voice. As part of the transition's final gesture before the return of the S-theme and the move to Bb major, it also ends on Bb and makes up part of a Bb major triad.

These beginning and ending nodes of the upper lines, along with the bass line, suggest an expanded (but incomplete) tonal progression in Db that then modulates back to the movement's tonic key. In this manner, these lines produce tonal "milestones" along the course of the relatively lengthy bass H-line. Of course, this passage does not function in an entirely diatonic, common-practice tonality. As such, the musical force of magnetism may not occur with maximal effectiveness. Nonetheless, one may speak of an expanded sense of magnetism in play when these lines work toward and end on functional harmonies within Db major.

The outstretching effect of the resultant wedges lends a virtual sense of arrival or weight to the bass line's continual journey. The Bbb of R20+6, the Ebb of R20+8, and the D-natural in R21 function as "resting points" along the line, producing a small hierarchy of stable versus less-stable pitches in the 34-member span. These "nodes within nodes" may not support the same linear significance as a true opening or closing node, but their simultaneity, along with the upper lines, produces an effect analogous to nesting. The brief upper lines within this short-lived Db major key area—however similar among themselves—take part in a longer, unfolding gesture and harmonic progression. This harmonic environment, what I call a shifting tonal landscape, results in unequal footing among each of the otherwise highly similar three lines: the first is unstable-stable, the second is stable-stable, and the last is stable-stable modulating.

In the following chapter, I discuss S- and H-line wedges as two independent agents, but also as a singular, multi-faceted subjectivity. In this case, both interpretations find support. On one hand, the overarching expanded-tonal progression and the formal function as transition

moving towards the return of the S-theme suggests a larger, singular subjectivity embracing two competing "thoughts" as agents moving the harmonic succession forward. On the other hand, the lower line appears to constitute a freer, more independent motion than its ascending counterparts, which all repeat the same five- (or six-) note motive. Its persistent downward drive to its ultimate goal, accumulating a great deal of momentum and breaking through two gravitational tonic "platforms" on its way (in R20+5 and R20+8), lend it the human-like, metaphorical action of a separate virtual agent. This agent either works in dialogue with the ascending lines to accentuate its expanded tonality or they are mere projections of the descent's ultimate move to Bb and A major.

Focusing on the lengthy line itself, the sense of emerging and receding magnetism does not work alone. Gravity's more diffuse, global force is intensified, due to the emerging emphasis on Db major, which gives way to Bb major and finally A major. In this manner, separate virtual, gravitational "floors" emerge along the way. When the first stable Db is reached (R20+5), it may be experienced as a gravitational platform. Once the line breaks through Db in its descent, an expectation may then arise that implies a lower Db as the new platform. Such an anticipation gains strength thanks to the quasi-Neapolitan progression along the way. Once again, however, the line breaks through, and the subsequent Db (yet another octave lower) is elided by way of an octave transfer and the abrupt move to Bb major (D-natural replaces the anticipated Db).

At some point, the emerging tonality of Bb major creates a new gravitational floor in Bb. The new tonic arrives in R21+1, but the line continues descending. Any projection of Bb fades once the move to A major takes place, and the line ends in R21+3. This "shifting floor" speaks to Prokofiev's ability to move through distantly-related keys with the aid of S- and H-lines. A process of tonal disorientation from the old key and reorientation around the new one takes place

in common-practice works as well, but (1) always as part of a functional tonal progression, (2) usually toward more closely-related keys, and (3) usually for longer periods of time.

A strong sense of momentum continues throughout the line, yet the forces of magnetism and gravity tell a much more disorienting tale as the line ends. The H-line, as a virtual agent, may be either (1) subject to its capricious harmonic surroundings or (2) a willful agent of change, acting as a salient, constant force that directs the motion through Db major (and the Neapolitan tonicization) to the reemergence of the secondary theme in Bb major, and even further, to A major.

Since the bass H-line spans a passage that fragments the primary theme and lasts halfway through the secondary theme, it may be said to link the two. When the S-theme's melodic H-line over the bass emerges at R21+1, and another counterpoint of lines in similar or parallel motion occurs, either one multi-faceted subjectivity or two parallel agents may be inferred. However, since they both move in the same direction, end at the same time, and help establish the same key, we are more likely to interpret a merger of these two lines into a singular agential motion towards A major. The expected surprise of a modulation has now become a significant feature of the S-theme. Yet again, this motion suggests that lines may direct motion as part of a willed agency, as opposed to being passive lines subject to a larger harmonic progression. If so, lines can provide coherence not only as directed vectors among unstable harmonic motion, but also as virtual agents in a shifting tonal environment.

Because of its length and multiple formal functions (supporting each theme, but also transitioning between them) this H-line has the potential to move beyond considerations of virtual agency as actants or agents, in order to suggest actoriality. In other words, rather than interpreting this musical event as merely a continuous virtual shaping through time (actant) or,

by way of progressive embodiment, a virtual human agent (having intention, identity, and capacity to act), this line's overall trajectory can be progressively fictionalized as a virtual actor "in a virtual story, drama, or narrative," where aspects of conflict and outcome, dramatic and dialogical interaction come into consideration. Its role as an unstable-stable line (moving from instability towards stability) may be especially helpful here, as it already provides a general narrative framework of overcoming an obstacle and achieving a goal.

This H-line began in a realm of uncertainty and achieved greater stability by its end. The achievement of stability is by no means straightforward. Having achieved stability in contrast to its beginning, the line could end at R21, but it extends another three measures to finally close with another abrupt move to A major. Again, local-level expectations for Bb major to remain as the new, achieved key center ultimately conflict with what the listener knows about the secondary theme and its inherent modulation: a surprising moment is simultaneously unsurprising.

In this manner, a musical drama unfolds: instability is overcome through a somewhat unexpected trajectory. The H-line, as a salient, constant, discernible figure, can provide a coherent thread to help trace the unfolding struggle by drawing attention to the ongoing actoriality of this passage as a whole, even though the line is likely to be heard as a virtual agent within the drama. Perhaps the line's incessant tendency to descend without elaboration adds a sense of purpose or intentionality to the frequent and distant tonal shifts, guiding the listener through each harmonic obstacle as a reminder that this passage may very well have been constructed with a stable endpoint in mind. In this manner, momentum can serve a purpose beyond the immediately experiential or actantial: the lengthy momentum suggests an intentional

thread running through quasi-tonal harmonic shifts that anticipates the reprise of the S-theme and completion of the sonata principle.

An analysis that solely focuses on matters of linearity and harmonic stability in this passage only goes so far. While it can answer some questions about Prokofiev's harmonic language in the War Symphonies, such as how distant and abrupt modulations take place, it does not go further into questions of interpretation or listener experience. Virtual agency and musical forces use linearity and harmony as a springboard into the formation of expectations as well as their subsequent fulfillment or denial. This allows us to better understand a listener's reconstruction of virtual, musical environments and the attribution of actual, human forces to the trajectory of a more dissonant passage as it unfolds in time.

This chapter has shown how lines functioning as musical forces within a virtual environment can take on new agential properties by way of Prokofiev's quasi-tonal harmonic language. Thus H-lines may do more than signify a form of coherence when tonal influence wanes: they can help signal the emergence of virtual agents navigating a changing harmonic terrain as they embody human actions, struggles, and accomplishments. In the following chapters, consideration of agency will expand to embrace actoriality and subjectivity, drawing not only on lines but also themes, and ultimately offering new insights into Prokofiev's role as a Soviet composer attempting to engage with the epic symphonic genre.

Chapter 4 - Complicating Actorial Narratives: H-line Wedges as Actors and Multi-Faceted Agents

Multiple H-lines moving in similar or parallel motion emphasize a singular agential motion through a virtual environment. In chapter 3, this kind of counterpoint reinforced the inference from lines as virtual actants to lines as virtual agents. Furthermore, I began to suggest that lines might also be interpreted as virtual actors. Two or more H-lines in contrary motion appear in one of two ways: either with the pitch members of both lines attacked (at least mostly) simultaneously or in a more dialogical, back-and-forth rhythm. In either case, goal-orientation is often discernibly the same between the two lines in question. By "goal," I refer to the accomplishment of an authentic cadence or completion of a phrase: e.g., a clearing to consonance, or some other quasi-tonal structural attainment. The success or failure to achieve such a goal may be interpreted in terms of virtual efforts by either multiple agents or perhaps a singular virtual actor.

VIRTUAL ACTORS VERSUS MULTI-FACETED AGENTS IN H-LINE COUNTERPOINT

In Hatten's theory on virtual agency, the inference from agents to actors often involves multiple agents. These agents may emerge as motives, melodies, harmonies, rhythmic figures, or other secondary parameters. Hearing two agents as contrasting phenomena may lead to a sense of dialogue emerging between them. As this dialogue develops into an agential discourse, we may or may not interpret it as an emerging conflict depending on how oppositional this discourse

becomes. Hatten proposes that such a conflict may be fictionalized when "virtual agents take on roles as virtual actors in a fictional story, as enacted in a virtual world."[25]

Each of the examples in this chapter feature chromatic wedges with multiple agents at work. In most cases, I argue that the most salient agents are melodic phenomena, primarily as H-lines. However, this is not always the case: middleground harmonic progressions also emerge as virtual agents. The first two examples (both taken from 5/iii) show that H-lines in contrary motion do not necessarily result in a sense of contrast so much as they work toward the same goal. In other words, their oppositional orientations (one ascending and the other descending) do not produce a sense of conflict (hence, we need not consider separate actorial roles for each agency).

The third example (from 6/ii) differs from the first two in that it features multiple lines whose pitch members are not attacked simultaneously, but rather staggered in a more discursive rhythmic profile. Nonetheless, they do not construct an oppositional discourse in and of themselves so much as they produce a cohesive dialogue. They make the same trek through a harmonic landscape that attempts to cadence in a new key only to be brought back to its tonic realm. In this manner, the inference towards actoriality is not generated by the two H-lines themselves so much as it is by their motion through distant harmonic realms, which suggests an actorial role in a larger dramatic trajectory.

This tonal plan invokes a deeper level than the surface on which these H-lines operate; this suggests another agency, inferable as a middleground motion from F# minor back towards the tonic key of Eb major. Hatten provides for this shift of perspective from the "inner" agency of the two lines to the stylistic expectation for return to tonic (to the degree that such an expectation may arise given this work was written in the 1940s while invoking aspects of the

[25] Hatten, *A Theory of Virtual Agency for Western Art Music*, Indiana University Press, 2018 (forthcoming).

common-practice). In a similar manner to Harrison's criteria for classifying S-, H-, or K-lines, the underlying harmonic progression emerges as a critical force in agential inference, affecting the fictionalizing of agency in this passage. This new perspective interprets the lines as reacting to a tonal obligation (to return to tonic) more so than functioning as active, directive agents in their own virtual environment. A trend emerges that aligns the War Symphonies' more stable contrapuntal wedges with a sense of fused agency between the two constituent lines, while wedges that undergo more instability begin to imply roles in a larger tonal/dramatic trajectory, hence, an actorial inference. Thus, it is not the discursive nature of the lines' rhythms so much as it is their harmonic progression that determines whether the actorial inference may be warranted.

My analysis of H-line counterpoint borrows from Hatten's "Agentially and Expressively Motivated Counterpoint"[26] in which contrapuntal techniques can "serve as a scaffolding, helping to integrate the expressive contours of more freely independent melodic or motivic lines into a unified discourse" (2). We have already seen this principle at work with lines in similar motion, e.g., with middleground parallel tenths anchoring a quasi-tonal large-scale ascent that modulated from E major to F major in the S-theme from 5/i, as discussed in Example 3.1. In this chapter, the agents in question (H-lines) may appear more individuated both in terms of their melodic contour and even their rhythmic profile. However, they still work toward the same goal.

Hatten's article discusses these contrapuntal strategies in examples taken from Bach, Haydn, Mozart, and Beethoven. Such strategies "enhance both the independence and the interdependence of contrapuntal voices, leading to an emergent synthesis, or melos" (1). This notion of melos is what allows for the inference from actantial lines toward a singular subjectivity, which I discuss at the end of this chapter. In other words, melos is "the merger of several stands of the texture into a singular integrative flow with a singular, if complex,

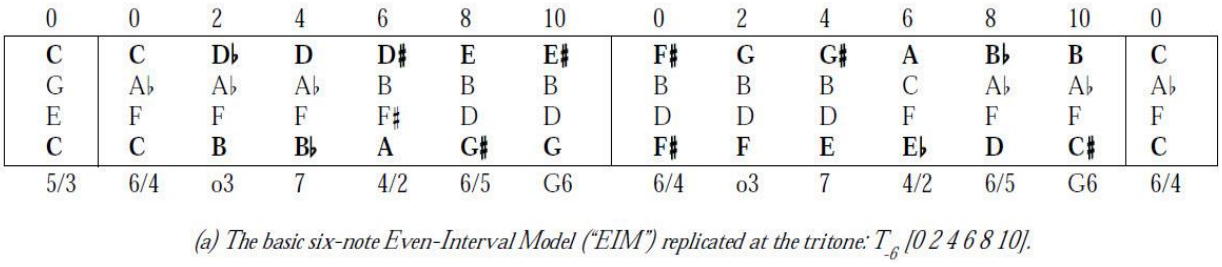
[26] Unpublished paper delivered to the Society for Music Theory annual meeting, Vancouver, B.C., November, 2016.

expressive purport" (3). The examples that follow illustrate this process in two movements of the War Symphonies (6/ii and 5/iii), largely in terms of agents and actors, but with a move toward a more integrative level of subjectivity at the conclusion of this chapter.

ANALYSIS OF H-LINE WEDGES IN THE WAR SYMPHONIES

Before I discuss the agential aspects of these excerpts from the War Symphonies, it is worth noting that chromatic, contrapuntal wedges are by no means Prokofiev's invention. In his 2004 article on wedge-like linear progressions in the dramatic music of Wagner and Tchaikovsky, Robert Gauldin proposes a theory of wedges based on the intervals between the two voices moving outward from (or occasionally inward towards) each other. These progressions usually repeat three-to-six-interval patterns at the transposition level of T_{-3} or T_{-4} (the negative transposition values represent the oft-descending bass motion). For example, a commonly used pattern that Gauldin begins with is the Even-Interval Model (EIM). Here, two voices moving by contrary motion in semitones (beginning at the octave) produce the interval pattern [0 2 4 6 8 t] – see Figure 4.1 below. Assuming the pattern begins with inner voices that make the first harmonic simultaneity a major triad, this wedge may very well end with a Ger^{+6} chord (notated below as "G6") resolving out to another octave if the outlying ten-semitone interval is spelled as an augmented 6th.

While not all of Prokofiev's wedges engage in counterpoint in such a strict sense, some come close. Example 4.1 shows a relatively more traditional, contrary-linear motion in the third



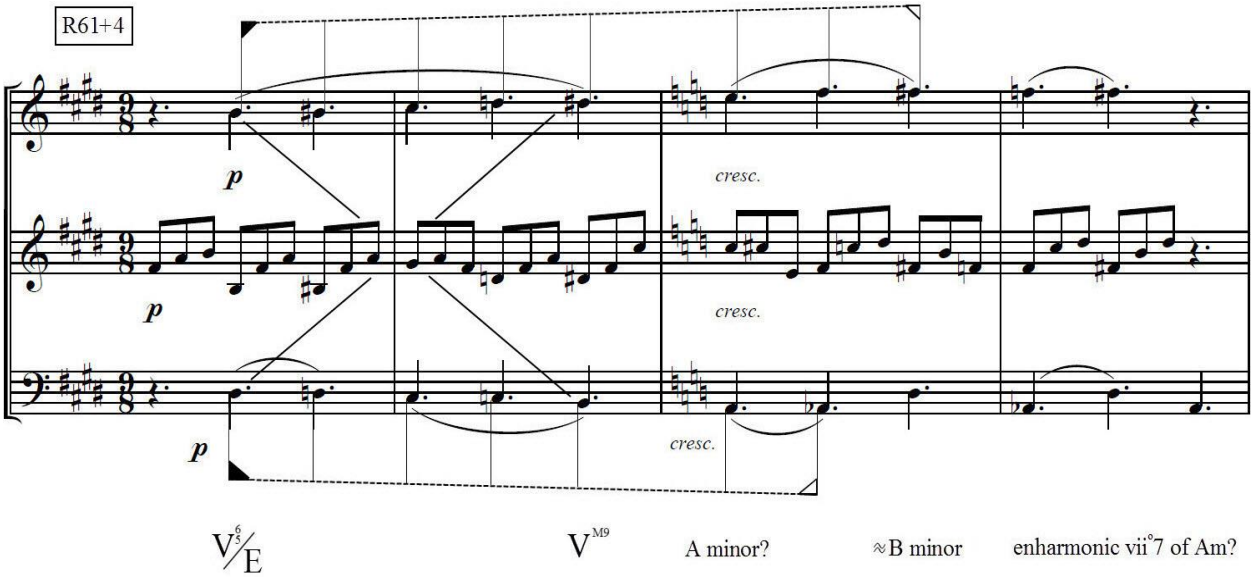
0	0	2	4	6	8	10	0	2	4	6	8	10	0
C	**C**	**D♭**	**D**	**D♯**	**E**	**E♯**	**F♯**	**G**	**G♯**	**A**	**B♭**	**B**	**C**
G	A♭	A♭	A♭	B	B	B	B	B	B	C	A♭	A♭	A♭
E	F	F	F	F♯	D	D	D	D	D	F	F	F	F
C	**C**	**B**	**B♭**	**A**	**G♯**	**G**	**F♯**	**F**	**E**	**E♭**	**D**	**C♯**	**C**
5/3	6/4	o3	7	4/2	6/5	G6	6/4	o3	7	4/2	6/5	G6	6/4

(a) The basic six-note Even-Interval Model ("EIM") replicated at the tritone: T_{-6} [0 2 4 6 8 10].

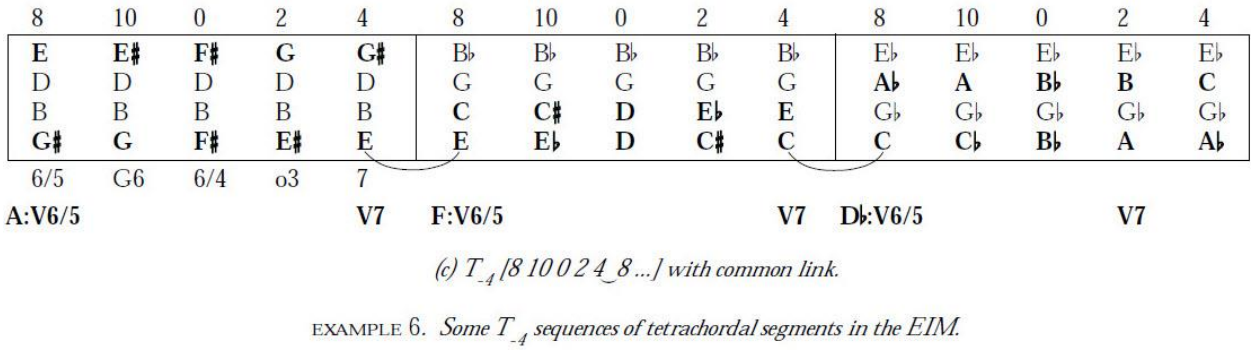
Figure 4.1: reproduction of Example 2a from Gauldin (2004)

movement of the Fifth Symphony. The first violins move upward in contrast to the descending trombones, tuba, and basses, completing a voice exchange in the first two measures. Both linear progressions take place with simultaneous rhythmic attacks between R61+4 and R61+7. As the wedge begins with D# in the bass and B in the violins (with eight semitones between them), the inner voices complete the V6/5 in E major. The wedge progresses outward chromatically while the inner voices usually remain the same and (nearly) follow Gauldin's T_{-4} [8 t 0 2 4] model (see Figure 4.2 below). These slight variations aside, an overall adherence to a wedge model found in Wagner's *Tristan und Isolde* (Gauldin 2004, 10) is striking when one considers the relative rarity of these wedges in Prokofiev's music and his less-than-strict use of their voice-leading constraints. Indeed, Prokofiev breaks with the wedge pattern on the downbeat of R61+6 when a perfect fifth (interval class 7, which is not in the aforementioned [8 t 0 2 4] model) results after the bass moves down by a whole step, from B to A, rather than the anticipated half step.

Figure 4.3 (below) builds on Gauldin's wedge graphing by adding space for Prokofiev's active inner voices and highlighting the break with the Gauldin's EIM pattern in R61+6. At the end of that same measure, the bass leaps up to D, ending the wedge progression earlier than the violins, who make one last upward step to end on F#. In this manner, Prokofiev moves from a



Example 4.1: Symphony No. 5, III, R61+4 through R61+7 (mm. 31-34)



(c) T_{-4} [8 10 0 2 4 8 ...] with common link.

EXAMPLE 6. *Some T_{-4} sequences of tetrachordal segments in the EIM.*

Figure 4.2: reproduction of Example 6c from Gauldin (2004)

heavily implied tonality of E major through a fleeting, unstable A minor/major realm to end in an unstable region somewhat close to B minor. Subsequently, the two H-lines that made up the wedge, at first on their way to articulating a stable-stable line, abruptly become stable-unstable lines. While triadic harmonies occur at the end of both lines, they still constitute a relatively

unstable tonal progression in contrast to the heavily-implied E major that begins this passage. While the Ab that ends the bass line could be heard enharmonically as G#, it would not fit into the surprising D half-diminished seventh chord above it. This brief harmony seems more indicative of C minor than A or B minor. Ultimately, it functions to pass outward to the ambiguous B minor/A minor tonality that ends this excerpt. What began as a confident, outward attempt to cadence in E major has not only failed to do so, but gone further and turned away from the syntax of functional harmony.

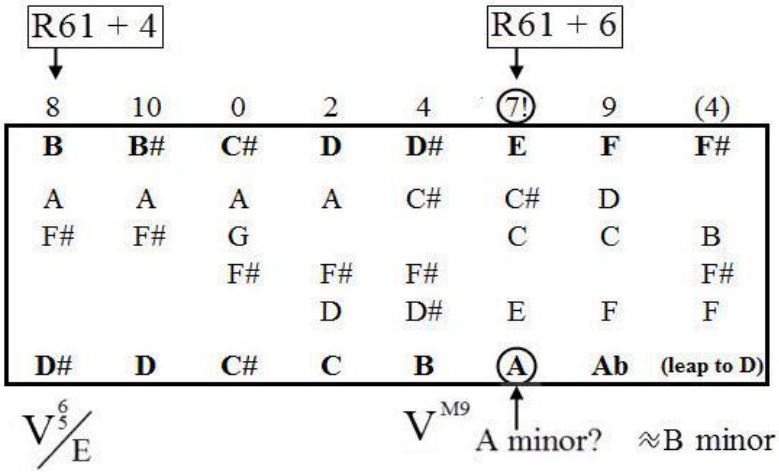


Figure 4.3: Symphony No. 5, III, R61+4 through R61+6 (mm. 31-33)

This projection towards a diatonic cadence, only to abruptly modulate, follows the same trend noticed by Deborah Rifkin (2006) when she points to Prokofiev's tendency to abruptly shift from the tonic key towards the end of his phrases. This example features a number of triadic harmonic anchors between the beginning and end, resulting in a relatively stabilized motion between the opening and closing sonorities, even if a tonal dissolution (however brief and triadic) ultimately takes place. The H-lines' conjoined sense of momentum is reinforced by the

rhythmic doubling between them. The two lines merges into a larger momentum within the outstretching wedge, subsuming its component parts for the sake of the larger whole. Perhaps the more consistent outward motion makes for a stronger sense of agential will among the two voices. In this manner, it may be easier to hear the basses and violins merging into a single, two-sided agent as opposed to two separate ones.

However, it seems difficult to justify the inference of a virtual actor as easily in this passage. Of course, the brevity of this wedge may not allow for the emergence of a virtual antagonist against what we may identify as a protagonist-like struggle outwards or struggle towards a cadential goal. Yet, it may still be possible to infer a miniaturized conflict if we are to shift our perspective from the "inner" conflict of the emergent agential discourse between the two lines to the "external" agency of the harmonic progression. As mentioned previously, this wedge insinuates E major until its final two or three pitch members. Subsequently, the possibility remains of inferring virtual drama in regard to harmonic progression, as opposed to a discourse of contrary-vectored H-lines. In either case, a sense of virtual actoriality emerges more clearly in the following examples.

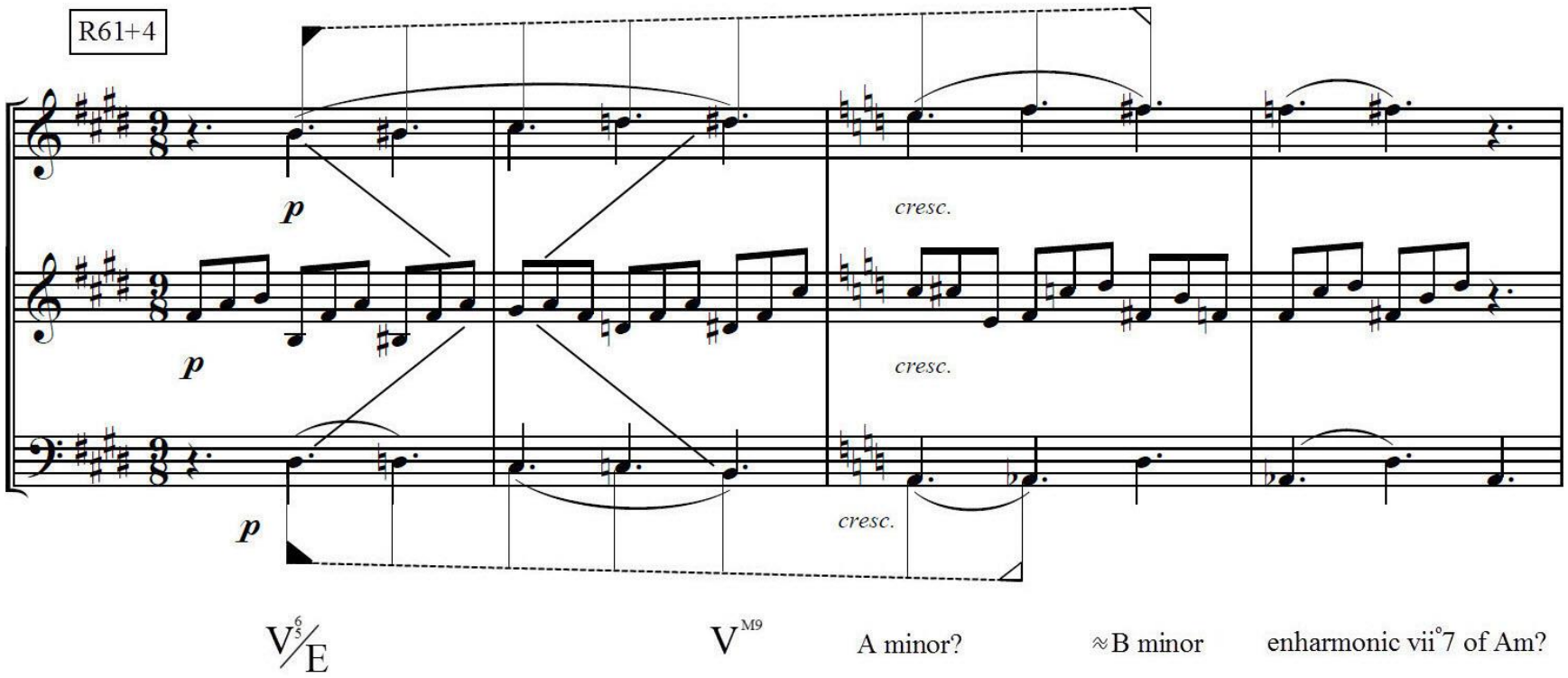
Example 4.2 shows a voice leading reduction from a passage near the end of the same movement as Example 4.1 (5/iii). Beginning five measures before R77 (and ending at R77), this excerpt modulates from B major to F major and features two outward-stretching wedges involving one longer line in the first violins (shown in the top staff) and two shorter ones in the cellos/basses (bottom staff). Along the way, two other H-lines emerge in the inner voices. At R77–4, the first bass line ends on a B-minor triad, then leaps to begin a new line on a B major chord. This harmony retrospectively functions as the dominant of E minor.

While an E minor triad clearly makes up the downbeat of the next measure (R77–3), the intervening chord between it and its preceding dominant, shown here as the last beat of R77–4, proves difficult to identify in terms of its function. Were it not an F minor triad, but a major one instead, it would resemble a Neapolitan chord in E minor. However, such chords usually precede the dominant as opposed to cadencing directly to the tonic. Taking a broader perspective on the wedge as a whole, however, this contrary motion actively overrides some of the tonal syntactic norms it has invoked in order to "cadence" by way of its lines.[27]

Foreground or middleground counterpoint can override tonal syntax or other voice leading principles in the common-practice era as well. The best-known example may be the use of parallel tenths that allow chordal sevenths to resolve upward, as when $V^{4/3}$ passes between I and I^6. As perhaps an extension of the common-practice, the F minor triad on the final beat of R77-4 may not appear quite as unstable as it would in other War Symphony passages when positioned between two distantly-related harmonies. I argue for this contextual stability since it participates in a linear, quasi-tonal "cadence." However, this cadential gesture does not align with the closing of any H-line; the three H-lines in progress continue through the following measure.

Delving further into the rhythmic aspects of these inner-voice H-lines, their role as virtual agents becomes clearer. Once the first inner-voice line runs parallel to the second bass H-line at R77-4, it begins to resemble an octave-doubling with a slightly different rhythm. The final two pitches, however, move as parallel tenths with the bass due to a minor third leap (still feasible as

[27] David Heetderks (2013) discusses a similar phenomenon in semitonal chord successions and parsimonious voice leading the scherzo from Prokofiev's Flute Sonata, Op.94. He explains parsimonious chord successions with roots that differ by semitone throughout different parts of his phrase structures as well as semitone- with an intermediate chord between them, but his focus is not on the broader, linear structures at work that may span entire phrases or distant modulations as I discuss here.



Example 4.2: Symphony No. 5, III, R77-5 through R77 (mm. 186-191)

a step since it is enharmonically equivalent to an augmented second) and the oblique motion between the two voices when this leap occurs. As discussed in chapter 3, lines in parallel or similar motion may reinforce each other's mutual trajectories and may be inferred as making up two sides of the same, multi-faceted virtual agent. In terms of working toward the same goal, the motion breaks from parallel octaves to tenths once the E minor cadence occurs on the downbeat of R77-3. As the parallel tenths begin, the process of moving away from E minor begins in earnest. By the next measure, either Bb minor or Db major has emerged as the third of four total key centers in this brief passage. This same relationship of parallel-line-as-reinforcement may emerge here, but it is also somewhat obscured by the more salient musical feature of the outlying wedge. Nevertheless, this inner voice in the violas lends the cellos and basses more substance than the violins and provides an orchestral asymmetry to the unfolding contrary motion.

As the first inner voice ends, the second one begins and moves in parallel thirds with the violins. It also "aides" in the upper lines' goal towards cadencing in Db major once it reaches the downbeat of R77-1. Even though the inner voice does not continue its ascent into this downbeat, the Db it articulates as it ends is repeated at that arrival point. Both inner H-lines suggest they function to help achieve cadences either by ending alongside the arrival of the new key or changing patterns once the cadence occurs (the first inner-voice H-line twice articulates E-natural once the bottom and top line reach E minor).

The break with the downward line and simultaneous start of a new, ascending line in R77-3 occurs as an especially displaced "pivot point" between the two inner-voice lines. This beat clearly articulates a G# minor triad and, by itself, constitutes a consonant harmony. However, it also takes place as a chord without a strong sense of underlying tonic. At this point, it is unlikely that the listener would latch onto to an emerging G# tonic. It may remain feasible to

hear this as the median of E minor, but the major subdominant beforehand and the following Bb minor triad mark this particular progression as unstable. This measure ultimately transitions from E minor towards a still-ambiguous Bb minor/Db major realm in the following measure. I argue that this "pivot" node (not in regard to modulation, but more so as a rhythmic feature) takes place in a point of instability, marking the first inner-voice H-line as a stable-unstable line. The second line manages to end in yet another unstable point (on the final beat of R77-2). While this chord is close to functioning in Db major, it is not unequivocally cadencing in this key until the Db chord arrives in the next measure. Its quality as an augmented triad further destabilizes this end-node.

These observations on the harmonies that underlie the inner-voice H-lines do not necessarily make as substantial an argument between inferences of virtual agency or actoriality as much as the more salient outer voices do (which I address below). However, they help illustrate the ways in which Prokofiev modulated between quite distantly-related keys by way of linear structures that do not prolong any single harmony so often as they function in a stepwise, coherent bridge that spans over the unpredictable, shifting harmonic landscape.

Returning to the outer voice wedge, the upper line surprisingly ends just one step earlier than one may expect, sustaining its final note through R77–1 while the bass line finally ends at R77. If the top line were to have continued into R77, it would likely have articulated an A6 as the mediant of F major. Instead, it ends early and does so in a place of relative instability (though not so unstable as to result in the placement of an unstable node; Db major likely sounds a tonal underpinning to this chord).

One may argue that its final note (the Gb_6 in R77–1) ultimately transfers down to the F_4 in R77 or perhaps steps down to the higher F_6 which is played in the same octave by the piccolos/flutes, thereby making a stepwise, quasi-cadential motion to F. This would break the

upward linear pattern and would also result in parallel octaves between the two lines. These particular parallel octaves are difficult to hear, however, since the piccolos and flutes leap up to the F_6 from a Gb_5 and, due to their salient register and timbre, disguise the apparent step down from the Gb_6 in the violins to the F_6 in question.

This passage makes a somewhat similar harmonic transition to the one found in Example 4.1, although that modulation outlined a more unstable yet traditional, fifth-based interval from E major to a quasi-decipherable B minor. Also like Example 4.1, the vast majority of the two outer-voices' attacks take place simultaneously in Example 4.2, but notable exceptions occur on the second beat of R77–2 and the latter two thirds of R77-1. One substantial difference between these two excerpts comes in the form of overall stability and how their modulations take place. Most of the wedge in Example 4.1 tended to deviate from E major only for the sake of half-step motion in its outer voices until it ended in a less stable realm. In Example 4.2, the second wedge becomes unstable halfway through, deviating from E minor by moving to the flat-side of the harmonic spectrum, and invoking Bb minor and Db major before abruptly turning to F major. In this manner, the overall motion from stability through intervening instability only to return to a stable key area bears a greater resemblance to the more dialogical wedges we find in our final example below.

Perhaps Example 4.2's most significant deviation is its nonconformance to any one of Gauldin's outer-voice wedge voice leading models (see Figure 4.4 below), even though an intervallic pattern of ic9-0-3 emerges in the earlier part of this passage. The opening A# → C (an enharmonic major second) in the top voice, along with the descending C# → C-natural in the bass, add up to a total of three semitones, transforming the outlying ic9 between the two voices (C# up to A#) to that of ic0 (C to C). When another major second in the violins runs counter to a

half step in the cellos and basses, a total of three semitones are traversed, and the outer voices now lie apart by ic3 (from B up to D).

As mentioned previously, this is where the first bass line ends by leaping down to F# while the violins continue to ascend by step. Curiously, the violins break their whole step pattern and only move up by half step from D to D#, so yet another ic9 results. The enharmonic major second move returns and, on the downbeat of R77–3, the 9-0-3 ic pattern repeats (also shown below in Figure 4.4). Of course, this sort of intervallic repetition is characteristic of a sequence, but, largely due to the violins' continued stepwise ascent R77–5 through R77–3, they do not immediately sound like two instances of the same idea repeated on separate pitch levels.

After the second ic3 (on the downbeat of R77–3), the second wedge (subtly) breaks the interval pattern by jumping outward to an ic8 as opposed to the expected ic9. This aberration takes place by way of a minor third motion in the bass, which is the largest interval that can still be considered a step.

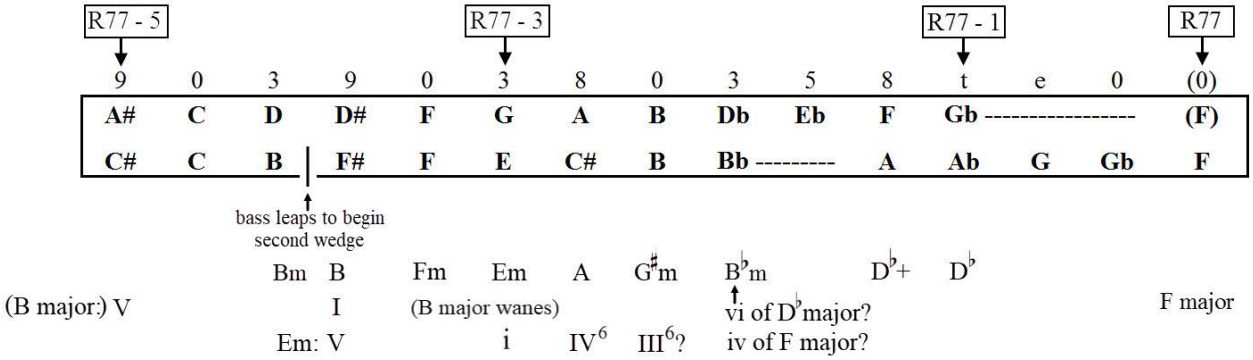


Figure 4.4: Symphony No. 5, III, outer wedge voice leading in Symphony No. 5, III, R77-5 through R77 (mm. 186-191)

I argue that this move to ic8 ultimately constitutes only a rather subtle tweak in the pattern because it is also followed by ic0 and ic3. This tripartite pattern finally dissipates once line members begin to be sustained longer than the normalized quarter note duration at R77-2 & R77-1 and a clear intervallic pattern becomes difficult to distinguish. These measures also signify the point at which the wedge moves away from E minor and the orchestration becomes a great deal thicker with the addition of the woodwinds and trumpets (these parts are not shown in the reduction seen in Example 4.2, but they outline similar melodic motions to those of the voices depicted).

Thus, Prokofiev's wedges tend to make a directed motion between two keys (often by way of a few others), and the more repetitive their outlying voices are in terms of interval patterns, the more harmonically stable they tend to be. This may simply constitute a truism of intervallic sequencing: the same stepwise pattern may tend to stay within a given harmonic realm. However, it remains feasible for Prokofiev to modulate without breaking the general 9-0-3 or 8-0-3 pattern. In fact, he manages to quickly navigate from harmonic instability to relative stability in R77–5 while maintaining the 9-0-3 ic sequence.

Example 4.2, lying somewhere between the more tonally stable, predictable trajectory of Example 4.1 and the less predictable, dialogical give-and-take of Example 4.3 (below), highlights yet another way in which Prokofiev may have been able to keep one foot in the tonal tradition and another outside it. The outer wedges in Example 4.2 are clearly heard as linear phenomena in contrary motion, but they do not make use of Gauldin's voice-leading models, nor do they make for a predictable harmonic progression in any one key. The voice leading in this example ultimately bears little resemblance to wedges found in the common-practice era. Of

course, this goes hand-in-hand with the harmonic instability that, while triadic, constitutes a part of Prokofiev's own post-tonal harmonic language.

With these linear and harmonic considerations in mind, it may seem difficult to make any strong agential overall claims about this passage. While it seems to make a more coordinated, simultaneous, and thereby singular agential push outward towards F major, it lacks the same fortitude of Example 4.1's more consistent and stable outward motion. Even with its overall simultaneous motion, what do the exceptional, sustained notes signify for the two linear agents? Do they begin as one multi-faceted agent, only to occasionally split and re-merge? Do they make a convincing coordinated final push to F major, or is the top line more likely to be heard as simply ending on Gb with the basses and cellos continuing alone into R77? Such questions are beginning to require more complex answers.

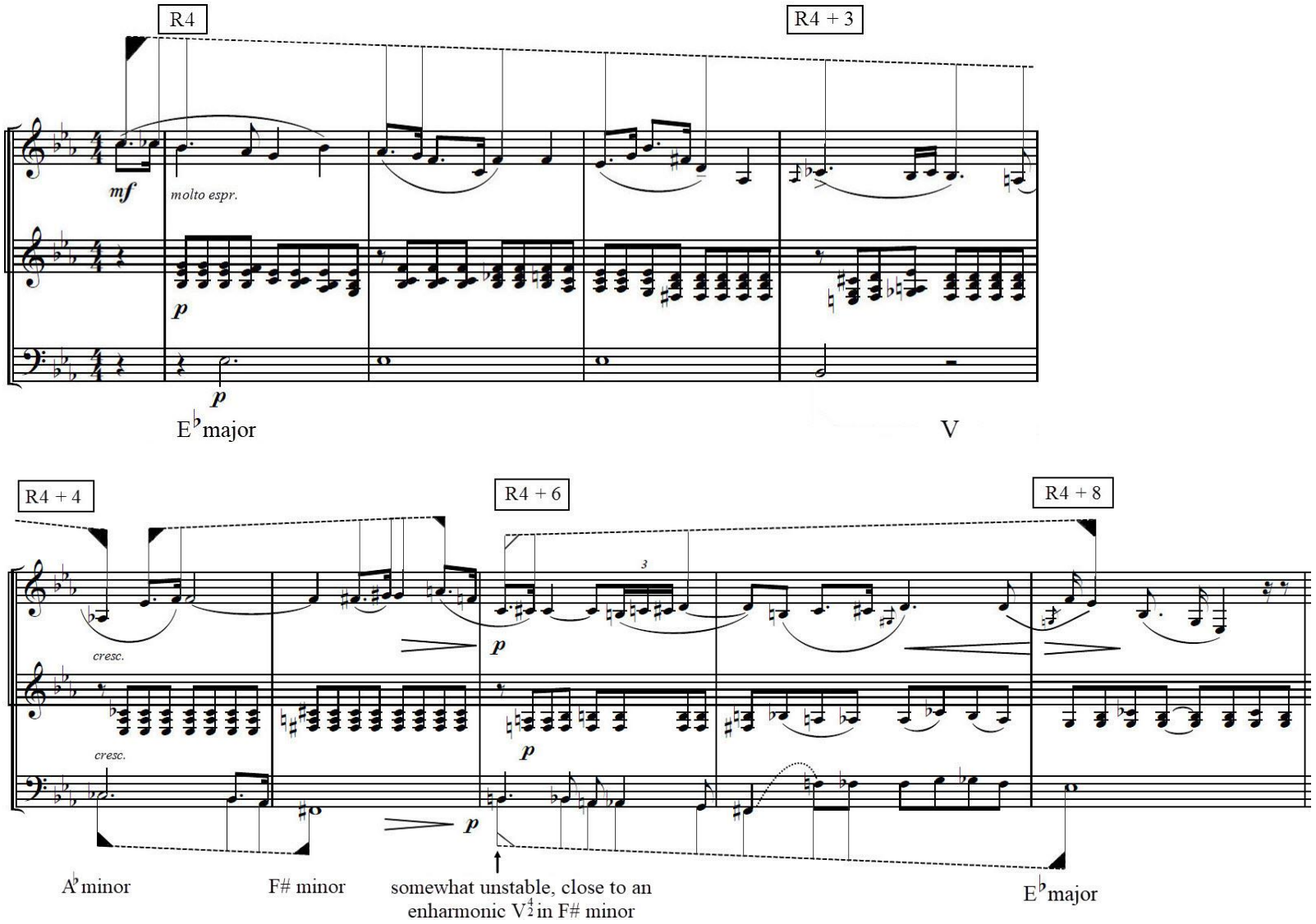
For example, the bottom line's trajectory towards F major is relatively easy to hear as an overall motion from one key to another. If we interpret as having achieved a "goal" of sorts, then this H-line's actorial role is certainly plausible as an actor who overcomes obstacles (as abrupt shifts to distantly related keys) and achieves a quasi-cadential motion at R77. Simply because the top line either fails to make the same transition at all or, as discussed earlier, fails to make its motion down to F less clearly than the bottom line, does not necessarily detract from its ability to be heard as an actor as well. In this case, striving against gravity along with a magnetic attraction of the final Gb towards F (or perhaps even up to G-natural and then to A) imbues this upper H-line with a more intense sense of overcoming than is found in the unmarked descent in the bass.

Perhaps this wedge merges into a multi-faceted, singular agent that remains in at least some degree of inner conflict right until its end, invoking the possibility of a wary or timid agent who is "of two minds" and not quite ready or able to make a transition into the next key. Despite

the questions regarding the single or multiple nature of actoriality in these H-lines, such a debate need not result in a single answer. Even multiple actors can produce a singular if somewhat complex overall emotional effect (as experienced by a singular "subjectivity," which I address more fully in the next chapter).

I now turn to wedges that emerge during the S-theme from Symphony 6/ii in terms of two more unique "thematic ideas" that, in this case, are H-lines which work together towards a singular actorial inference as opposed to a multi-faceted agential one. Like agents, actors struggle against musical forces and give in to them, much like the lines discussed in the previous chapter. However, two such lines heard at once in a contrapuntal wedge may suggest a more complex account of virtual agency, one that begins to create a generalized narrative. In other words, H-lines in contrary motion inferentially converge to give a singular actor (the wedge itself) the ability to convey a multi-faceted expressive account of virtual will and resignation—as though fulfilling a role in a larger drama. I argue that this example goes beyond the last two to more easily invoke the inference from a multiple agency to actoriality.

Example 4.3 spans the latter of the exposition's two S-theme statements (from R4 to R4+8, or mm. 40-48). The melody starts with a descending H-line in the bassoons and cellos that modulates from Eb major to Ab minor. This line ends on the downbeat of R4+4 (m. 44), a leap takes place from Ab up to Eb, and a new ascending line begins which moves to F# minor. Meanwhile the basses, in that same measure, begin another descending line. H-lines in contrary motion (both the second and third ascending melodic lines along with the descending bass) continue in dialogue for the remainder of this passage. By "dialogue," I not only refer to these lines' individuation by way of opposing directions, but also their conversational, rhythmic give-



Example 4.3: Symphony No. 6, II, R4 through R4+8 (mm. 40-48)

and-take. In other words, one line usually slows its rhythm when the other line is more rhythmically active. In this manner, a metaphoric "listening" on the part of the less active line may be inferred, as well as the sense of the current, active line commenting on the other one.[28]

This dialogue suggests a differentiation between the lines and, as such, their functioning as two separate agents. However, the lines' tonal context brings them together in a way that implies they are two facets of the same virtual agent (the wedge motion itself) which then takes on an actorial role in an emerging drama. They both appear inflected by (or perhaps they both direct) the same harmonic shifts, as the theme moves from its opening tonality of Eb major through a few brief detours consisting of Ab minor (R4+4) and F# minor (R4+5 through R4+7). The passage finally clears to Eb major over the course of R4+7 and R4+8. In this manner, two different lines depart from the movement's tonic key to move through two distantly related harmonic realms only to quickly return to Eb major as a cohesive unit. Neither line remains in one key while the other moves on to a new one; they make the transitions together. This middleground tonal plan helps to tie the upper and lower lines together as a single, virtual actor, which has progressively fictionalized two agents into a "virtual story, drama, or narrative."

The other examples also did this without implying actoriality as easily (if they do so at all). Coinciding key areas between two lines alone does not necessarily bring these two agents together into a virtual actor. The actorial inference is suggested more by their

[28] Klorman 2016 explains this conversational aspect of virtual agency in the chamber works of Mozart as *multiple agency*, in which a conversation taking place among equals or with a primary agential voice.

joint narrative role in struggling against (and yielding to) various musical forces which were not as salient in the previous excerpts. For example, the opening "anchoring" of Eb major (at R4) is destabilized by both lines at R4+4. Yet the outward stretching of the following wedge in R4+4 and R4+5 implicates motion towards another cadential goal in F# minor that restores a sense of tonal teleology. Thus the gravitational "platform" of Eb weakens and may even give way to a new platform (F#) by R4+5 (gravity not only invokes the tendency of melodies to descend, but also to land on tonic).

One may expect the bass line that begins in R4+4 to end on Ab or perhaps even Eb still, but by the end of the line in R4+5, that expectation is no longer warranted due to the shifting harmonic landscape. However, the wedge in R4+6 through R4+8 goes through the opposite trajectory. It begins with instability and returns to Eb major over the course of its outstretching motion. Thus, the Eb gravitational platform that reinforces the second bass line's descent (while simultaneously providing virtual friction and resistance to the ascending line) reemerges during the latter half of R4+7 and downbeat of R4+8.

In addition to these oscillations of musical gravity, the musical force of magnetism also fluctuates. The ascending line of the last wedge in Example 4.3 struggles against a diffuse gravitational pull, but the D_4 at the end of R4+7 is pushed upward by a more powerful magnetic force due to the reemerging Eb tonic. However, a much weaker sense of magnetism is at work during the beginning of this final melodic line (at R4+6), since F#'s role as a tonic pitch has begun to wane. This begs the question regarding the process of reestablishing tonal stability over the course of the wedge. We need to consider not only Prokofiev's transitions between key areas in shifting harmonic

landscapes, but also an overarching actorial trajectory: attempting to cadence in one key (F# minor), only to yield (resignationally) and return (back down) to Eb major.

The downbeat of R4+6 comes close to enharmonically spelling a dominant seventh in F# minor, but the cadential implication does not follow through. Perhaps the most salient feature of the wedge-as-actor's attempt to achieve a cadential motion in F# minor may be found in the melodic line, which ascends from $C\#_4$ to D_4 in that same measure. Only able to reach the lowered submediant as opposed to the raised D#, the line pulls back down to B-natural for the second attempt at "stepping back to move forward" (R4+7). It fails to move any higher, lands on D_4 again, and the motion upward stagnates.

At this same point, the bass line moves away from F# by way of an octave transfer and continued descent toward Eb, thrice articulating its lowered supertonic (Fb). The two lines then make a Phrygian-inflected, outward push to Eb major in R4+8, but this quasi-cadential achievement does not sound as hopeful or triumphant as the move towards F# minor had suggested back in R4+5. This turnaround from F# minor to Eb occurs rather abruptly. The upper line leaps up to F before moving downward to Eb, undercutting its role as the upward-stretching component of the wedge. As a more understated return to the tonic key than the struggle heard to move to F#, Eb's return seems more obligatory, as if an external agent forces the return to tonic, as opposed to it having been earned by way of some agential struggle.

I interpret the central actor in this passage to be the overall wedge motion that emerges in R4+4 through R4+8, not necessarily any one particular wedge in Example 4.1. The upper and lower voices of the wedge motion articulate this actorial trajectory

together in R4+4 through R4+8. As such, the virtual actor makes the move from its tonic key to finally establish a somewhat stable new one in F# minor, but fails to accomplish a convincing cadence in that key. Instead of continuing on its projected journey outward to a cadence in F#, it abruptly resigns to the tonic. This trajectory of "failure-to-accomplish" may be rather generalized; indeed, it has numerous precedents in the narrative analysis of music. Additionally, one does not necessarily need the consideration of H-lines and wedges in order to interpret this passage as imbued with a sense of tragedy or failure. The ability of H-lines and wedges to insinuate a virtual actoriality nonetheless speaks to our active simulation of the experience when we hear this passage.

AGENTS AND ACTORS MOVING TOWARDS THE SUBJECTIVE LEVEL

To summarize, as soon as one experiences the wedge in Example 4.3 (or even the opening line of Example 4.1) as directed motion through a virtual space, an initial, actantial level emerges. Once imbued with a human-like inference of striving towards a goal or, in the case of the descending lines, giving into gravity as well as moving to a stable endpoint, H-lines can imply virtual agents. An actorial level emerges when their human-like embodiment of will and striving toward a goal tells a generalized narrative of overcoming obstacles to achieve that goal.

The main difference in this final example, as opposed to the wedges in the first two examples, is the greater individuation of lines, the frequent tonal shifts, and the greater overall length of the wedge motion. The lines making up the wedge in Example 4.1 featured many more simultaneous attacks. Additionally, that wedge underwent

minimal tonal instability throughout its beginning, middle, and end. Example 4.2 differs mostly in terms of its tonal trajectory and, as such, offers more in the way of a feasible inference from its multi-faceted agency to the level of actoriality, with the greater possibility of warranting a fictionalizing inference. In Example 4.3, the wedge's constituent lines undergo tonal instability again, but their pitch members are almost never simultaneously attacked. This leaves the intervening strands of pitch members without the same virtual "tightness" as the more coincidentally-attacked members of the previous wedges.

In this manner, Prokofiev's chromatic wedge moves toward an implied goal without implying a specific "cadence" as clearly as common-practice composers could with predominant and/or dominant harmonies preceding the tonic. Of course, a dominant implication can still be found in R4+7 (Example 4.3) when we hear a leading tone in the top line, and the bottom voice articulates both natural and lowered scale degree 2. However, R4+7, as a standalone measure, would be difficult to define in terms of any one tertian harmony. Instead, I argue that the directed, willful, outward motion of these two lines aids in the quasi-tonal achievement of the Eb major "cadence" at R4+8.

Despite my argument for an actorial inference, it remains entirely possible to interpret Example 4.3 as a complex virtual agent without necessarily merging into a single virtual actor. On the one hand, the two H-lines that appear at any given time between R4+4 and R4+8 engage with different kinds of musical forces: one fights gravity while the other gives in. More specifically, they also feature highly differentiated melodic contours—not just in terms of ascending/descending—but rather one tends to move with

a smaller overall range (perhaps due to having fewer overall line members) and remains in the same register. The other covers more territory (such as the rapid, large steps taken by the bass line in R4+4 and R4+5 or its octave transfer in R4+7). Their rhythmic profiles also bear little resemblance after R4+5. However, they obviously outline the same general harmonic motion towards Eb major. This question of two-versus-one agent(s) is not an entirely new issue; counterpoint has long engaged two melodic strands as a teleological, polyphonic phenomenon that moves through tonal harmonic motion. However, common-practice lines rarely wade through the same degree of tonal instability only to clearly and abruptly return to their tonic harmony.

Hearing this entire passage as the work of one more complicated agent, as opposed to multiple agents, would move one towards a greater "interiorizing" of the dialogue in question. Instead of a give-and-take between two individuals, the discourse could be heard as articulating two sides of the same personality, or an inner-dialogue, which appears to merge into the chromatic wedge that achieves a return to harmonic stability and the Eb major tonic. As I will discuss later, Hatten's fourth inferential level of subjectivity involves a more listener/interpreter-dependent leap as one hears this passage not just as an actorial display of overcoming, but also on a larger scale as a singular, conflicted state of being (by a singular subjectivity).

One other striking difference between this last example and the others is the lack of a clear intervallic pattern emerging between the two H-lines. Of course, this is a byproduct of their dialogical rhythmic profiles with staggered attacks. Another significant departure from Gauldin's wedge models pertains to the harmonic nature of Prokofiev's

lines, as in this example. The basses' line (beginning in R4+4) is an unstable-stable one that starts in an uncertain realm but ends as part of an F# minor triad in R4+5. As mentioned earlier, the upper line articulates the opposite trajectory: a stable-unstable line moves from an Ab minor triad (at R4+4) to end in a place of uncertainty at the end of R4+5. When the two lines begin anew and end together (between R4+6 and R4+8), they both outline an unstable-to-stable trajectory, ending back in Eb major. These alternating phases of harmonic stability and instability result in a sense of loosely-supported lines and rare harmonic "anchors" that seem all the more abrupt when they suddenly appear (especially at the end of R4+8).

Despite the conflict resulting from two lines that struggle outward and away from each other, these examples still begin or end in a relatively clear key. These lines accomplish their motion as a wedge only by functioning contrapuntally with each other. Of course, my discussion of lines and foreground/middleground wedges has largely taken only one particular pathway from actoriality into subjectivity, but the subjective level does not necessarily lie at the end of a journey through all four levels. Indeed, subjective musical states of being may result in the opening measure of a given work prior to the inference of actants, agents, and/or actors, as Hatten (forthcoming) notes.

The following chapter will explore the subjectivity of a given work as it emerges in numerous ways, both in terms of S- and H-lines as well as without them. This more form-focused discussion moves on to broader levels of Prokofiev's War Symphonies, and concludes with a perspective on his role as a Soviet composer in the final period of his creative career.

Chapter 5: Tracing Prokofiev's Symphonistic Formal Processes and Their Emerging Subjectivity

VIRTUAL SUBJECTIVITY AND SYMPHONISM AS DISCURSIVE FORM

The previous two chapters illustrate how a particular kind of linearity aids in the inference of virtual actants, agents, and actors. These agential levels do not necessarily require increasing timespans in order to be inferred. Nonetheless, my interpretation of their role in Prokofiev's War Symphonies has progressively "zoomed out" to encompass larger analytical excerpts. This chapter goes one step further by examining the ways in which all three of these levels of inference function within an entire movement. While I will discuss the form of these works in terms of their archetypal models (almost all of them are in sonata form), I primarily focus on the formal processes they employ. By "formal process," I refer to two ongoing interpretive acts as a piece unfolds.

The first is a more traditional approach, examining the ways in which Prokofiev constructs an entire movement from smaller components. Examples include themes that are often made up of two different, successive melodies yet still cohere as a single idea,[29] the frequent use of one or more clearly defined developmental themes, a less frequent but still prevalent blurring of the boundary between the development and the recapitulation,[30]

[29] Shostakovich employs a similar technique in his symphonies, especially the opening movement of the Sixth (Rofe 2012, 138).

[30] This is a common feature among Soviet-era Russian symphonic composers, especially Shostakovich (Rofe 2012, 81, 102 and Mishra 2008, 362 – 365).

a largely truncated recapitulation,[31] and (somewhat more unique to Prokofiev) surprising endings that either oppose or comment on the overall character of the piece. This last sort of example may take place either by way of a subtle inflection or the unexpected emergence of a more lengthy final passage.

The second formal perspective employed in this chapter is more hermeneutic, examining the ways in which these movements premise, develop, and resolve some sort of general narrative trajectory. The opening conflict may be based on two opposing theme-groups or it may involve a shared actorial conflict that resurfaces in most of the movement's themes. In either case, I will discuss not only the generalized narrative(s) of these works, but also their capacity to nuance, reframe, and even comment on their inner dialogue, especially in light of their unusual endings. This manner of formal interpretation will bring in elements of Asafiev's symphonism and its relation to the larger symphonic tradition, as well as the broader notion of organicism, in order to ground the inferential leap to virtual subjectivity.

Among the War Symphony movements, the second movement (out of three) from the Sixth Symphony fully exploits a small amount of melodic material, and most effectively blurs its formal boundaries. As such, it is a clear example of the War Symphonies' formal dialogue among sonata form, other common Soviet formal features (such as those just mentioned), and unique strategies by which Prokofiev occasionally sidesteps either set of expectations. In the following analysis, I place linear, actantial, agential, and actorial trajectories into the broader context of the entire work, examining

[31] Again, this is also common in Soviet symphonies (Fairclough 2006, 34).

how the ending reframes the previous music by essentially commenting on what came before. I argue that this sort of commentary constitutes a shift in the level of discourse, setting the previous conflict within the context of a higher subjectivity.

By invoking the idea of a musical "discourse," I refer to what David Lidov calls "elaborated signs that we can understand as representations of active thought, signs of thinking" (Lidov 2005, 10). This musical "thinking" within a given work is broken down in Hatten's framework on virtual agency, especially in terms of what may constitute a more "elaborated sign." Hatten moves from the more mimetic parameters of melodic contour and linear vectors (that have been helpful in developing the idea of actants, agents, and actors embodying musical motion) toward the more "semiotically earned contributions of mode, mixture, harmony, and so forth, that nuance contour and rhythm (and dynamics, pacing, articulation) into more complex syntheses worthy of the complex emotions and reflections of consciousness."[32]

Thus, analyzing Prokofiev's unfolding discourse between the first statement of a theme and later variations on that same idea brings about a broader, subjective level of interpretation that incorporates more than the energeticist, motion-based discussion preceding this chapter. These "more complex syntheses worthy of the complex emotions and reflections of consciousness" can be thought of as having been "more semiotically earned" due to their historical associations, as well as their motivation by means other than the mimetic. The analyses from the previous chapters make use of actants, agents,

[32] Hatten, *A Theory of Virtual Agency for Western Art Music* (forthcoming in 2018).

and actors largely as iconic and indexical signs. By "sign," I mean anything that stands for something other than itself; a representation. By "iconic," I mean a sign that represents by virtue of resemblance. This was accomplished largely by way of musical forces such as gravity, wherein an upward melodic swing stood for a struggle against the inferred gravitational pull down toward a given tonic, while a downward motion signified relenting to that force. By "indexical" I mean a sign that that represents by virtue of causation from what is signified. For example, H-lines function indexically if interpreted as intentional attempts to bridge disjunct tonal shifts.

The capacities of virtual agency to mimic the actual agency we enact as humans has served as a powerful tool in order to help explain how Prokofiev's music can appear to embody movement. However, the emotional associations discussed in Symphony No. 6/ii cannot be entirely encompassed in these terms. In addition to a sign's potential to signify by way of iconicity or indexicality, it may also function symbolically. This sort of symbolism only appears to be arbitrary if there is no surviving mimetic motivation to tie the signifier to the signified. However, linguistic, historical, or cultural associations may also serve to motivate the tie between signifier and signified. Musical symbols cannot function in a manner as precise as written or spoken words, but they are still formed as signs by way of evolving associations that, despite varying from one context or culture to another, can convey expressive meanings, even for a non-Soviet-era listener.

I argue that the shift from the actantial, agential, and actorial levels to the subjective level involves an inference analogous to that of moving from the iconic and indexical to the symbolic: more "semiotically earned" parameters and a broader focus

past the musical surface come into play. In our consideration of these kinds of musical signs, alongside the diachronic unfolding of a dialogue between iterations of a theme, these musical works can appear to "think out loud" in the Lidovian sense. However, it should be noted that this subjective level does not necessarily lie at the end of a progression through the actantial, agential, and actorial levels, nor does it have to emerge only toward the end of a given work. As Hatten proposes, listeners are capable of quickly synthesizing the lower levels of virtual space and motion in order to arrive at a higher level of subjective interpretation as soon as the work begins.[33] However, since the following analysis will draw on elements of Hatten's theory of virtual agency as well as Asafievan symphonism, I will largely focus on trajectories that privilege end-oriented narrative outcomes, and consider the interpretations of virtual subjectivity that may also emerge along the way.

In order to elaborate the relationship among previously introduced concepts of actants, agents, and actors in relation to virtual subjectivity within an entire Soviet symphonic movement, I also build on the work of Michael Rofe's *Dimensions of Energy in Shostakovich's Symphonies* (2012). Rofe discusses the first movement from Shostakovich's Sixth Symphony (1939) in terms of energetics and Asafievan symphonism. Leading up to this analysis, Rofe has taken a more foreground-oriented approach in terms of shorter excerpts that illustrate Shostakovich's motives and themes as a form of "musical DNA," since their intervallic properties or the modulations they undergo often emerge at higher levels such as theme groups, background tonal plans, or

[33] Hatten, forthcoming 2018, Interlude I.

even key schemes for an entire multi-movement symphony. While the organicist metaphor has been subject to critique, it nonetheless results in some compelling arguments for the degree of unity that ties these symphonies together.

Specifically, Rofe builds on the general organic approach with Asafiev's ideas, focusing on four main tenets of symphonism (116 – 117), which he largely borrows from David Haas's 1998 book *Leningrad's Modernists* (76 – 78, 415 – 418). Conflict should be created through the juxtaposition and development/interaction of contrasting ideas, with their resolution taking place on a "grand scale." A symphonistic work should be experienced as a stream of consciousness or "as a single entity," not a patchwork of sectionalized components. The listener should be able to intuit an ongoing, integrated process in the music. The entire work should constitute "an unbroken chain of disruptions to an equilibrium." This idea bears a degree of Bergsonian influence with the argument that this chain/stream of disruptions disturbs us "both qualitatively (frustration) and quantitatively (loss of time)" (Rofe, 116). Finally, the concept of "intonation" comes into play; music should be "an expression of the world of emotions and ideas," focused on "the capturing in sound of the experience of being human" (116).

In a great deal of Western, music-theoretical scholarship, these characteristics may seem somewhat vague at first. What exactly constitutes a "grand scale"? What kind of listener is Asafiev talking about when he argues that a symphonistic work's formal process should be easily discerned? Are there any lengthy musical works that are really made up of one unending process with no perceivable halting or slowing motion? Ultimately, I argue that answers can be found through an analysis informed by Asafiev's

perspectives for any composer. As such, symphonism's value lies in its flexible, general qualities that build on the more general, Austro-Germanic symphonic tradition, while focusing the organic approach toward a more energetic, processive interpretation. The following chapter takes a more in-depth look at the role symphonism can play, with an analysis of Prokofiev's Symphony No. 5/iii. My brief interlude on Asafiev and the importance of his ideas for Rofe's approach to Shostakovich will lead to symphonism's energeticist contribution to formal analysis. I will also note parallels with Hatten's agential approach to subjectivity.

In terms of Shostakovich's Sixth Symphony, Rofe adds three other points of focus to his analysis: timbral patterns, thematic patterns, and tonal patterns. Considerations of timbre can result in a mappable contour or line graph for an entire movement that shows a dynamic shape with one or more climaxes. An example of this timbral mapping comes from the first movement of Shostakovich's Seventh Symphony, where the distinction between the development and recapitulation is made ambiguous by a relatively high degree of dissonance and dense orchestration. Subsequently, it is up to the second theme not only to realize the completion of the sonata process as tonal resolution, but to confirm the recapitulation's thematic arrival.

Rofe is not entirely explicit on what motivates significant shifts in the timbral line graph as a piece progresses, but he does refer to issues of volume (louder = more energy, resulting in a higher line on the graph) and orchestration (more instruments = greater density, also a higher line on the graph) (81–83). Overall, Rofe seems to intuit the timbral progression in a way that does not necessarily result in a meticulously measured line

graph; instead, he draws his line more loosely, primarily to highlight and discuss high and low points as they align (or misalign) with tonal and thematic patterns.

Regarding his thematic patterns, Rofe charts recurring motivic and melodic aspects "…by tracing patterns of thematic repetition," wherein "long-range forms gradually build up" (83). This is another dimension of Shostakovich's music that does not always align with a preexisting formal archetype. For example, the third movement of his Tenth Symphony is "based upon the diversification of two thematic cells. The 'form' of this movement grows out of this fundamental cellular opposition and the stylized disparity between different variations of the DSCH theme, giving rise to [a large-scale pattern]" (83). At the end of the work, the cells occur in rapid succession, but they do not integrate into a singular theme or provide a clear resolution to ongoing conflict (83). This thematic emphasis comes the closest to Asafiev's argument for premising conflict and developing it through variation, thereby diversifying the same melody. However, Shostakovich and Prokofiev need not resolve a work's narrative conflict in a grandiose or bombastic ending.

Finally, in regard to tonal patterns, Rofe argues that large-scale tonal planning can reveal a global trajectory at work behind seemingly disparate tonal episodes. Pointing to the first part of Shostakovich's single-movement Third Symphony, a rising stepwise line appears to coordinate 335 measures of material. This line is essentially made up of new tonics in a lengthy, continually modulating passage, so it does not make up an H-line, which must be audible in a more foregrounded sense. Instead, it appears as an underlying force that controls more local-level energetic motions. It is worth noting that not every

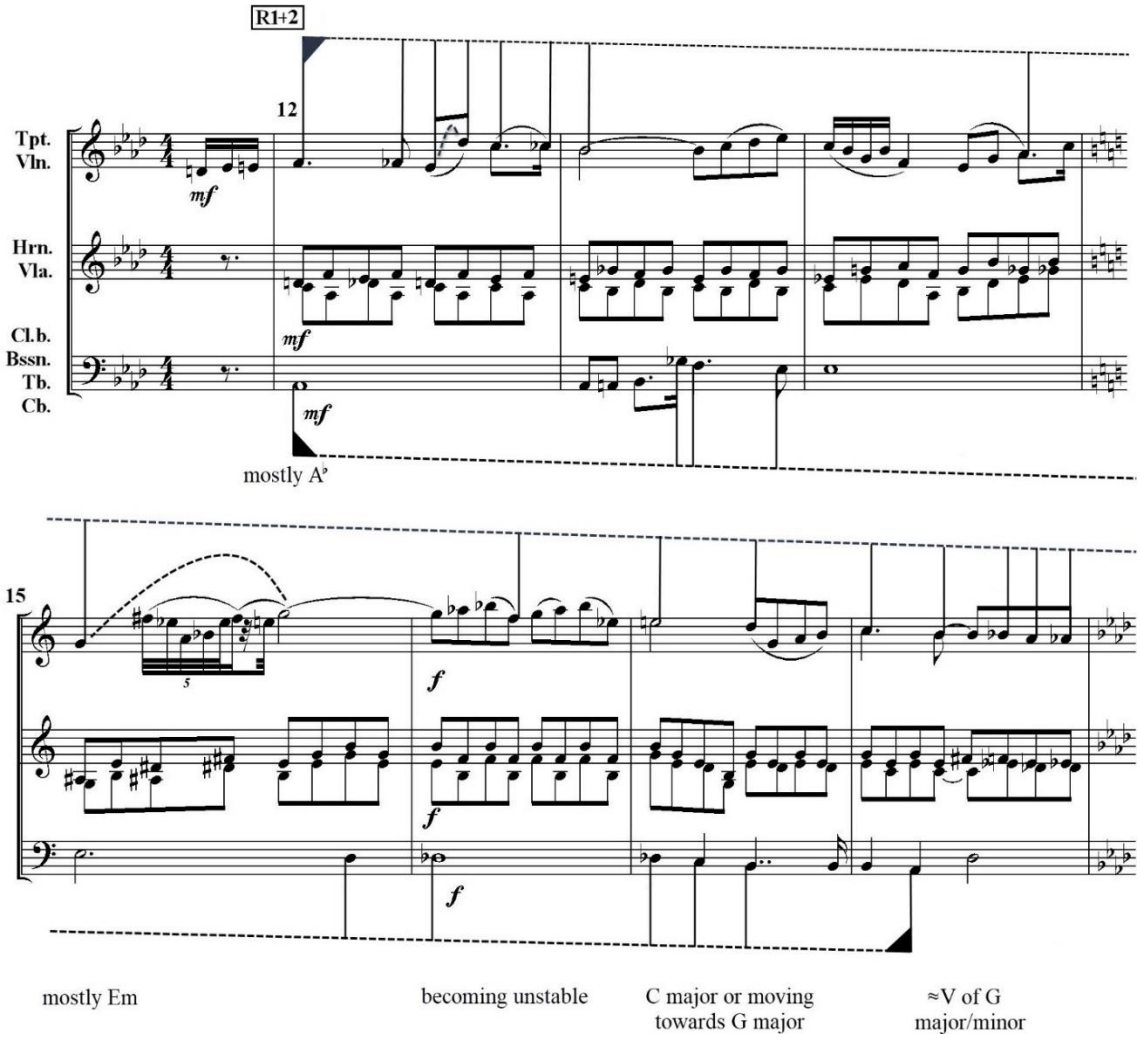
one of these tonic-steps is a key center; some are Yavorskian tritone duplexes, wherein at least one of the two notes that make up the tritone (the one in the long-range ascending line) "resolves" upward to the next step in the line (84–86). While Prokofiev does not appear to integrate tritone duplexes into these symphonies to the same degree as Shostakovich, they do occasionally surface.

Rofe's timbral, thematic, and tonal patterns help the analyst separate three different perspectives of a given work's unfolding form, appreciating how they may develop independently of each other, along common-practice formal archetypal lines, or somewhere in-between. They are especially helpful here in the realm of the Soviet symphony, many of which invoke sonata form only to immediately make substantial departures from it. Finally, musical forces help lay the foundation for understanding a listener's engagement with virtual agency. Rofe's energeticist formal emphases help bridge the notion of these forces creating virtual environments on a much broader scale than the previous chapters have covered.

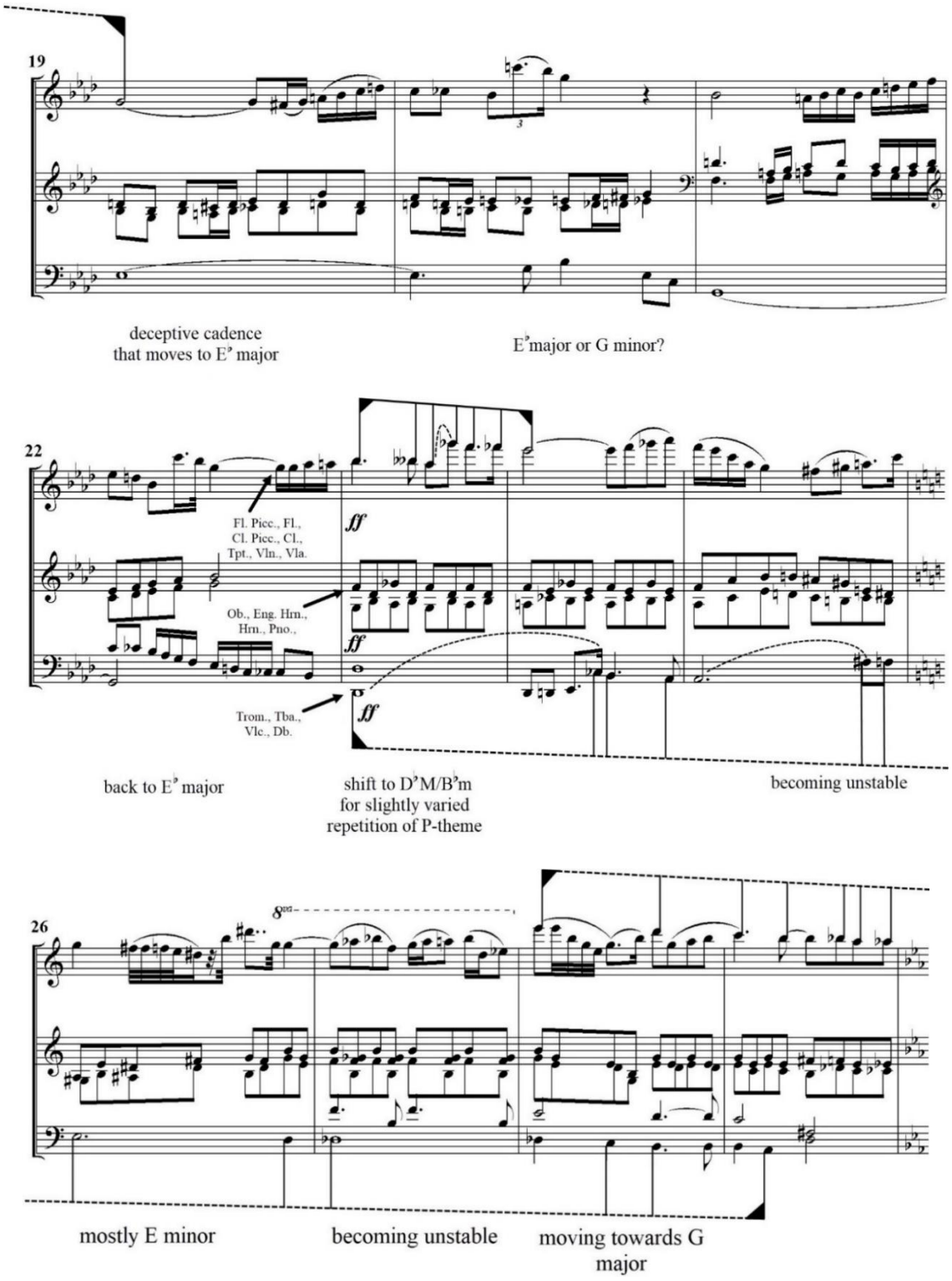
In summary, the following analysis of this movement (6/ii) integrates local and global trajectories by way of Rofe's formal emphases in order to explain how an extended tonal work may construct a singular subjectivity. I draw upon these three frameworks (Rofe, Asafiev, and Hatten) in order to explain how Prokofiev's War Symphonies are capable of "thinking out loud": as pieces that embody virtual agency, while remaining Stalinist-era Soviet works in Prokofiev's distinctive Soviet style.

H-lines in this movement can take control of entire themes. A melodic, stable-stable modulating H-line overarches the first statement of the primary theme from its opening gesture in R1+2 (m.12) until its surprising deceptive cadence at R1+9 (m.19). Beginning in the tonic key of Ab major, the opening and closing six or seven pitch members of this line sound contiguously while the middle ones undergo substantial elaboration. Overall, this descent from F_4, through two upward octave transfers (in m.12 and m.15) to G_4 ends on a higher note and ultimately modulates from Ab to Eb major (see Example 5.1 below).

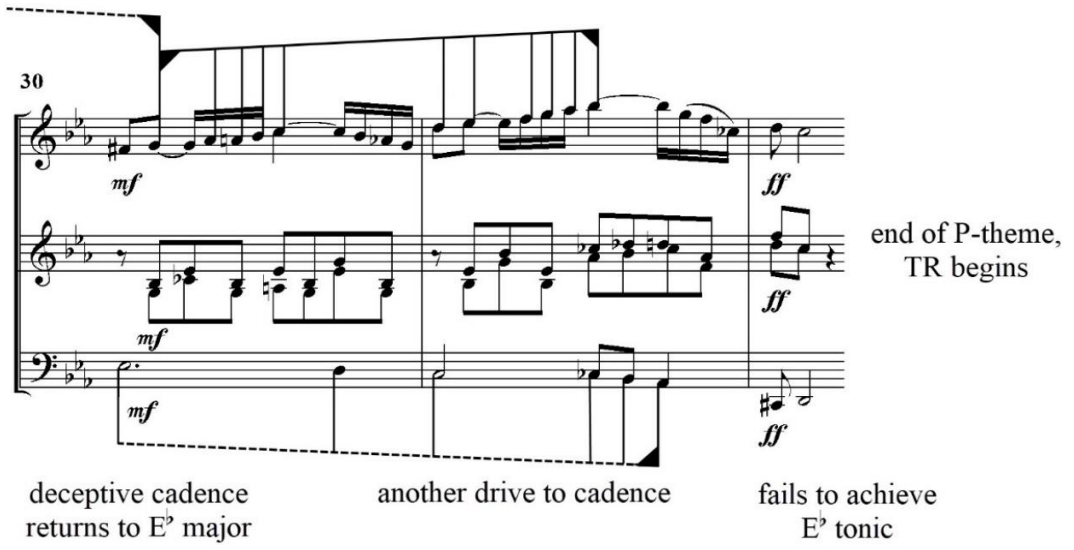
At the same time, a bass H-line begins, ending half a measure earlier than its melodic counterpart. Its members unfold more contiguously and, in mm.13-15, it stays on one pitch for an unusually long time. However, hearing this prolonged Eb as taking part in a line remains quite feasible when it sustains that pitch member as opposed to elaborating it through any number of gestures during the two-measure span. Occasionally, the inner voices appear to begin articulating short S- or H-lines themselves, but they rarely last longer than three notes and remain more difficult to discern due to their close registral proximity to other accompanimental instruments.



Example 5.1: Symphony No. 6, II, mm.12-32



Example 5.1 (continued)



Example 5.1 (continued)

This is a particularly lengthy pair of H-lines for the War Symphonies since they tend to last for three measures on average. As such, this line may be interpreted as a guiding force for the entire primary theme rather than one or two distantly-related modulations. Given its continually shifting harmonic syntax, meandering melody, and lack of clear phrase structure, this primary theme unfolds without a strong sense of tonal teleology. It regains a sense of direction, however, in m. 17 or 18, once G major/minor begins to emerge and a drive to cadence takes place.

When this cadence turns out to be deceptive, some associations from the common-practice era may be inferred. The ascending stepwise bass motion, and the two common tones shared by the tonic and submediant, capture the poignant quality that a deceptive cadence traditionally evokes. Even the move to bVI of G major (Eb major) as

opposed to natural vi (E minor) may sound unsurprising given the hints of a move from G major to G minor in the previous measure.

Taking this theme into consideration as a whole, with its unpredictable surface-level melodic and harmonic aspects, it is possible to infer two H-lines-as-agents at work. Emerging as threads of coherence through distantly-related tonal shifts, they may become integrated as a multi-faceted agent engaged in a singular downward trajectory. As such, one may infer their musical motion taking place with a human-like, virtual sense of striving towards a goal by mm.17-18. An actorial trajectory may emerge in which the invocation of harmonic teleology (the drive to the cadence) is denied when the deceptive move occurs. This fictionalization of the integrated H-line agent may result in the inference of the lines' own failure to reach their goal. However, another interpretation involves a more diffuse, exterior agent that "pulls" the bass line up to Eb in m.19 as opposed to letting it continue on to the implied G tonic. On a more abstract level, the "exterior" agent in question may operate in a similar manner to the lines discussed in the last chapter, where a move to Eb major represents an effort to return the meandering theme closer to its global Ab tonic.

However, these interpretations fail to fully address the robust emotional associations of this theme. In addition to the two implied agents and the struggle to resolve accumulating tension by way of an authentic cadence, an unusual texture for the War Symphonies takes over in this passage. This orchestration and rhythmic profile sounds more typical of the 19th-century Austro-German Romantic symphonic texture

with the constant, undulating inner voices played by the horns and violas (shown on the middle line of Example 5.1).

The deceptive cadence itself invokes far richer associations that amount to more than the sum of its voice-leading properties. The unusual melodic weaving up and down throughout the theme also conveys an unusually conflicted emotional state. Our capacity to appreciate such a marked moment in Prokofiev's work requires something beyond the mimetic properties covered by virtual actants, agents, and actors. Surely the general link between the pulsing arpeggiations in the horns/violas and a conflicted emotional state may be motivated to some degree by resemblance to 19th-century symphonic works, but this is also reinforced by a historical associative link.

In other words, undulating arpeggiations, as opposed to an agitato tremolo, bear little iconic or indexical resemblance to a conflicted state of mind. The deceptive cadence may bear some degree of mimesis to failing to accomplish a goal (by way of the bass only stepping up and not leaping to the tonic). However, it still acquires its emotional associative properties through a historical connection to common-practice repertoire. This deceptive motion thus stands as a musical symbol in terms of its signifying ability as much as it functions as an iconic or indexical sign.

In making this turn from mimesis to symbolism, we begin to move from actant, agent, and actor towards a singular subjectivity. However, this is not the only step required. As listeners and interpreters of this theme, we may also begin to compare certain symbolic references to each other as they unfold alongside the mimetic ones. For example, experiencing the sudden cadential drive as emerging after a relative lack of

teleological motion allows one to hear it as a change in the current emotional state. When this happens, the change itself may be heard a response to, or commentary on, what came before: an expression of dissatisfaction with the opening meandering state of affairs and a willingness to enact some sort of change. This inferential capacity constitutes a move to the subjective level of Hatten's framework, illustrating what Lidov refers to as the theme's ability to "think out loud" (2005, 10).

The theme's self-commentary reemerges on a larger scale when it articulates a thematic variation of the primary theme in mm. 23-31. After a brief interlude between the two theme statements, the second one begins with a dramatic reorchestration (shown in m. 22 of Example 5.1) and a sudden shift to what is either Db major or Bb minor. Substantial variation occurs in both H-lines. The melody's H-line still resembles the first theme, but elaborates its seventh pitch member (the Eb_6) to such an extent (in mm. 24-28) that I argue the line ends in m. 24 then restarts in m. 28. H-lines should occur as audible phenomena; deeper-level lines to this degree may exist as a background agent, providing scaffolding for the theme statement, but it is less likely that the reemergence of the Eb_6 in m. 28 is heard as such after a four-measure break from its first instance back in m. 24.

Since this varied melody ends its opening linear gesture early, it also results in the first stable-stable line in the movement. While the opening tonality may not have been entirely clear (Db major vs. Bb minor), the line as a whole seems to take place within an emerging Bb minor. The subsequent break in melodic H-line activity undermines the line's former ubiquity in the first hearing of the primary theme and gives this variation less linear support or "tightness" than its predecessor. However, once the line begins

again in m. 28, the brief similar motion between it and the bass line reinforces the drive to cadence, which has now shifted back towards the first theme's use of G major/minor. Despite this louder, more densely orchestrated attempt to move to the invoked authentic cadence, the deceptive progression takes place again. Afterward, a new wedge emerges in the following measures (mm. 30-31) which pushes outward (again, likely as a singular agent) but fails again to achieve a cadence in the invoked realm of Eb major/minor.

This resulting state of continual variation and the avoidance of strong closure resembles Asafiev's prescriptions for Soviet music in his writings on symphonism. The theme articulates a continually moving, varied whole that, while made up of different parts (H-lines, elaborative gestures, inner voices), still moves as an integrated effort forward while eschewing any final sense of a strong cadence. While I will address the War Symphonies' relationship with symphonism in greater deal in the following chapter, I mention it now to establish a link between its evolving, kinetic discourse of musical variation and same emphasis found in Hatten's virtual subjective level.

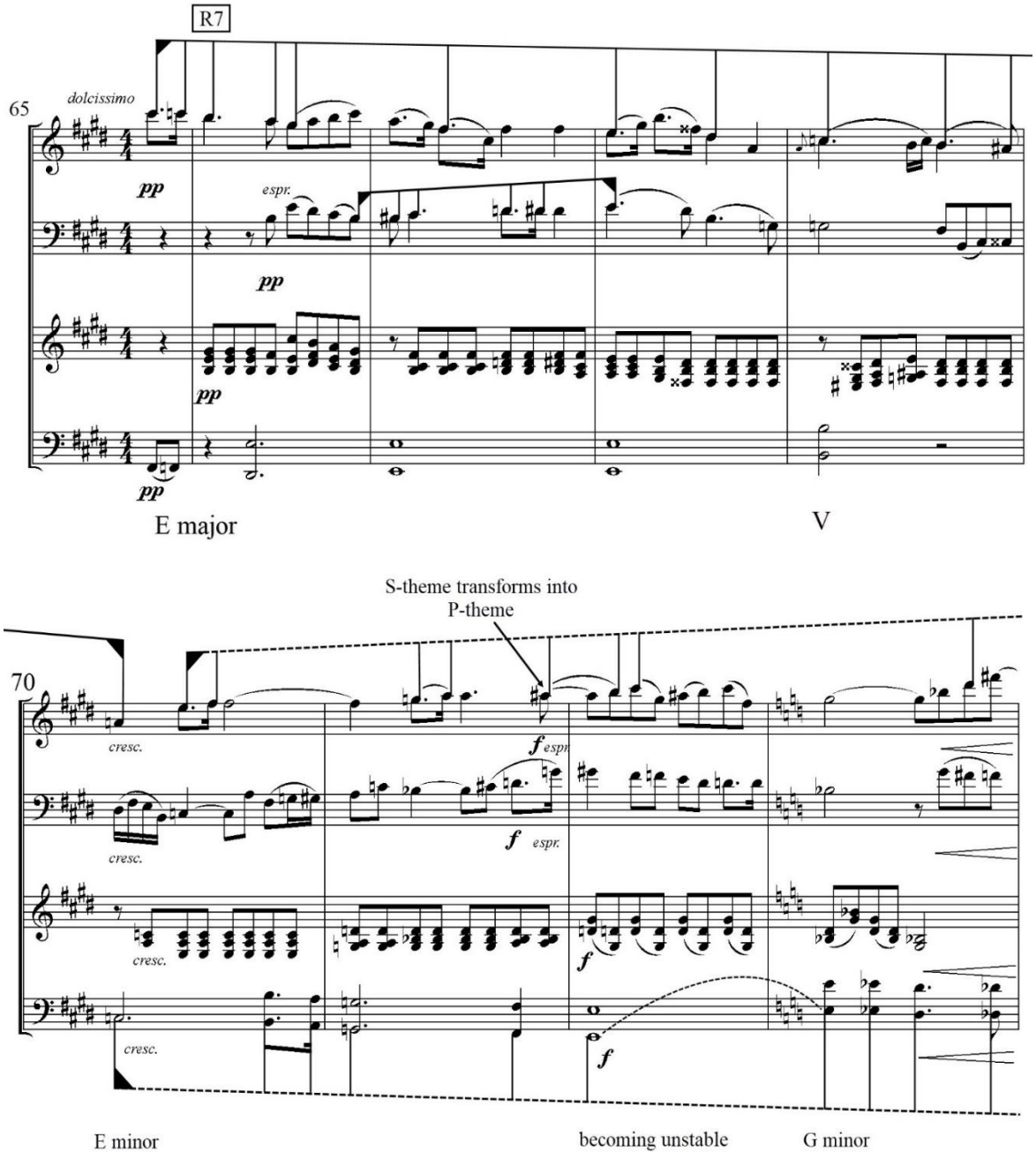
The primary theme's ability to comment on and/or alter its state of being by way of variation in both a local and broader sense suggests a musical "consciousness." In other words, it appears to reflect on itself, turning inward and reacting to its previous statement, and this interiority is another important distinction between the subjective level and the more directly mimetic ones. As the exposition unfolds, this sort of self-reflection continues and the resulting thematic patterns of this movement (à la Rofe) only resemble sonata form conventions to a certain degree. I argue that the large-scale design of the form calls for some other motivating factor than sonata conventions alone.

Returning to the second iteration of the P-theme, one may argue that two attempts at resolving this tension have now been denied, but who is doing the denying? The melodic half of the linear actor (made up of the bass and melody lines together) is clearly not undercutting the drive to cadence since it completes a descent to the tonic G_4 in both cases (m. 18-19 and then m. 29-30). The bass motion from D up to Eb does more to invoke the deceptive cadence rhetoric. However, this motion, along with the inner voices at the end of m.18, may also be heard as forming a fleeting vii^{o6} of Eb major. This interpretation would undercut the deceptive cadential expression, implying that the P-theme is in fact capable of cadencing in Eb, however weakly. Nonetheless, this leading-tone harmonic motion only emerges half a measure before the shift to Eb major. It does not necessarily substantiate a clear voice-leading pattern so much as it participates in a stepwise, triadic planning downward to the downbeat of m. 19. Before this motion began in the second half of m.18, the invocation of a G-centric tonality and its dominant chord were much more clearly articulated. As such, it seems that the bass and inner-voices do more to deny the cadence in G than the melody. They may emerge as virtual agents working to obscure this cadential arrival, resulting in the larger actorial inference of a fictionalized failure to achieve a goal.

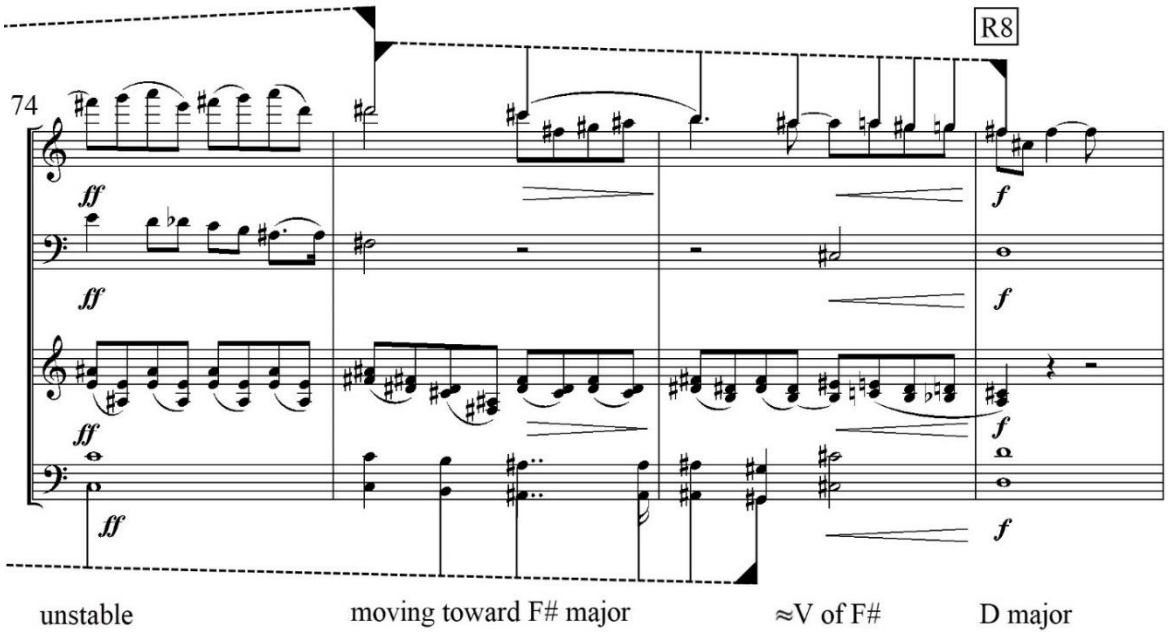
Perhaps there is another, more harmonic than linear agent at work as well, embodied by the bass' stepwise motion to the submediant and the inner-voices' downward motion. This agent would function in a more diffuse manner, moving the dominant to its deceptive resolution (or, feasibly converting it to a vii^{o6} of Eb at the last second). Both arguments find support in this passage, but these questions are applicable

to any deceptive cadence and can do only so much to answer why this denial has taken place twice after an emphatic second attempt. Instead, we may infer an external agent as operating outside the mimetic motions taking place within the theme's voice-leading. This could involve an external, antagonist denying the willed efforts of a protagonist or a virtual, narrative actor enforcing a trajectory that defines the entire movement. In order to fully define this sort of agent, I will discuss the remainder of this work in further detail first. However, even in the first thirty-two measures of this piece, one may have garnered a sense of goal denial, projecting a tragic sense of efforts being made in vain against a stronger, inevitable force.

This particular sense of inevitability strengthens when the secondary theme (beginning in the dominant key of Eb major at R4; previously discussed in Example 4.3) makes its first drive to cadence from R4+4 to R4+8 by way of an outward-stretching H-line wedge. While this theme accomplishes a quasi-cadential drive in this manner, returning to Eb after having ventured through F# minor, its success is undercut with minor-mode inflections when Cb's emerge in the clarinets and upper strings. The S-theme makes two varied returns within the exposition, first at R5 and then at R7. This last expositional variation (shown below in Example 5.2), now in the key of E major, alters the theme's outward wedge as drive-to-cadence beyond recognition when it transforms back into the latter half of the primary theme, moving analogously to the passage that begins mid-way through m. 15 of Example 5.1. Subsequently, it is the more tragic drive-to-cadence of the primary theme that returns one measure before R8 to finish this theme-group before the development begins.



Example 5.2: Symphony No. 6, II, R7-R8 (mm. 66-77)



Example 5.2 (continued)

This instance of the primary theme is different: while the aforementioned associations of deceptive cadences certainly return here, a broader implication has been made. The S-theme group, as a critical part of the now clearly invoked sonata theme design, fails to fully differentiate itself from the primary theme. While the first statement cadences in its home key of Eb major (as shown at R4+8 in Example 4.3), this third and final variation (Example 5.2) ends in F# minor and D major, two distantly-related keys from either the global tonic Ab or the S-theme's opening Eb.

The final variation-turned-transformation furthers a sense of inexorability: the S-theme, appearing at first as a more capable thematic actor, cannot sustain its ability to operate independently of the tragic underpinnings from the primary theme. Thus its own outward-striving drive to cadence is subsumed by a stronger, exterior narrative agent. The

"exteriority" of this narratizing actor can be inferred by the thematic and tonal patterning up to this point: a primary theme in the movement's tonic key followed by a secondary theme in the dominant. Such a formal design invokes the sonata as a formal archetype on a broader level than that of the actants, agents, and actors at work in these themes. The transformation of S into P makes for a marked redirection of that plan. While it is not all that unusual for a common-practice piece to return to the primary theme within the exposition (especially in the case of a sonata-rondo), the intra-thematic transformation of one theme into the other is assuredly less common.

What is guiding this formal invoking and also revoking of sonata form, at least from our perspective at the end of the exposition? Beside any speculation we may have on Prokofiev's actual creative agency, or questions we may have about his attempts to navigate the ambiguities of Socialist Realism (invoking tradition yet still innovating on it), interpreters of this work may also infer a virtual subjectivity that involves the ongoing musical discourse. Turning inward toward the works' emerging thematic patterns, the S-theme occurs in contrast to the P-theme (like almost all S-themes do), but more specific to this theme is its ability to make at least a timidly successful cadential gesture in its first statement, thereby changing the nature of how these two themes stand apart: S is at least somewhat more capable of expressing closure than P. When the varied thematic statement of S *becomes* P, the emerging, generalized narrative of differentiation is changed to that of similarity in a broader sense: these two themes are ultimately not so different.

It is this broader perspective that virtual subjectivity so effectively encompasses: not only do the associative qualities of deceptive cadences wind up playing a role, but so do the norms of works in sonata form up to this point. Even in 1947, well beyond the scope of the common-practice era, if a piece states two themes in a tonic-dominant relationship, the expectation for them to remain independent of one another as themes within the exposition is not unreasonable.

Rofe's focus on either tonal or thematic patterns help trace the ways in which a given work may align and deviate from a given formal archetype. They also aid in heliping us make the subjective inference towards this movement's emerging interiorization as an ongoing dialogue with what came before. However, it is through the inference of Hatten's subjective agential level that we may come back to questions regarding the exteriority of a larger, narrative actor at work which does not necessitate questions of composer intent or historical context. Instead, we rely more so on own inference of a tragic narrative trajectory and the work's even broader dialogue with other narratives that invoke inevitability in a similar sense.

This movement makes another broad implication of "inevitability-as-inability-to-differentiate" in the development. As is typical of many War Symphony movements, the new theme in the development brings the ongoing musical motion to a literal halt only to reestablish it with yet another new idea (not shown here). Beginning at R10, this new theme bears a few rhythmic similarities to the primary theme, but overall clearly stands on its own. By R11, the theme undergoes variation by way of measure-long fragments stated in the woodwinds and upper strings. Alongside those fragments, a passage between

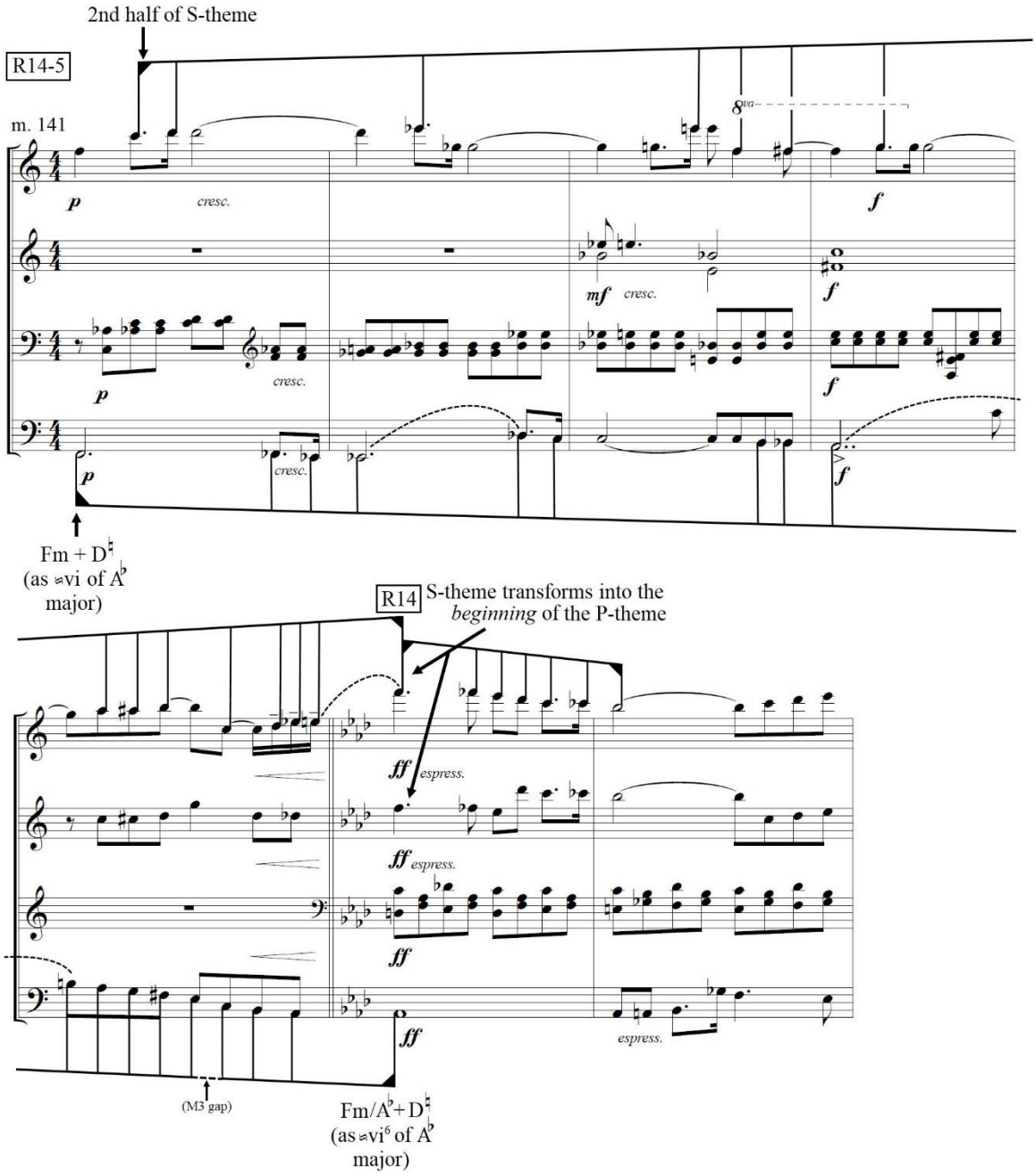
R11+6 through R11+10 invokes the rhetoric and orchestration of the secondary theme; this includes a return to a H-line driven ascent in the violins (beginning in R11+8 and lasting for two more measures). After the development theme makes a varied restatement at R12, the theme undergoes substantial liquidation and the S-theme returns at R13, beginning the recapitulation.

Subtle retransitions and openings of recapitulations are nothing new, but Prokofiev's thematic and textural patterning display a markedly lengthy retransitional plan that involves the development theme itself. Undergoing variations that invoke textural similarities to the S-theme alongside other subtle melodic resemblances, the accompanying voices liquidate down to the clarinet and harp just before the recapitulation. These two instruments act as a link between the development theme and the restatement of the S-theme. The subtle transition from development to secondary theme underscores their similarities and draws them together in one overarching motion that blurs thematic function and patterning, facilitating textural patterning as a linkage technique. While this connection is not as motivated as the aforementioned transformation of the S-theme into the P-theme, it nonetheless does more to tie these two themes together than differentiate them, and a development section that appeared capable of largely removing itself from the tragic trajectory of the exposition winds up more closely tied to the secondary theme by its end.

At this point, the large-scale design of a reversed recapitulation emerges, whereby the S-theme precedes the primary theme and lends the overall thematic design a sense of symmetry. This design is not frequently found in common-practice sonata form, though it

occurs much more often in 20th-century sonata adaptations. What is more unusual here is the foreshadowing of thematic and tragic inevitability: the S-theme, once heard as opening the recap, must be followed by the P-theme in order for the formal design to draw to a close, subsequently invoking another transformation from S to P. Inevitability, as a tragic "red flag," emerges on another broad scale, one which encompasses the remainder of the movement.

This second transformation occurs in a much more dramatic fashion beginning around R13+4 or 5, when the S-theme's H-line wedge returns (see Example 5.3). When it appeared in the exposition, this wedge became the latter half of the P-theme, which was itself a wedge, thus making the transformation smooth, albeit surprising. The wedge itself functioned to unite the two themes in an outward-stretching harmonic motion. In this instance, the S-theme's wedge moves outward again, but not to the same deceptive cadence that ends the primary theme. Upon reaching the downbeat of R14, the S-theme transforms into the beginning of the primary theme as opposed to its mid-section. Since this takes place during the recapitulation, it may be no surprise that the two themes accomplish this without stable-stable modulating lines, but rather S-lines between the two themes, as they are now sounding in the same key. The climax of the movement soon follows, as the deceptive cadence returns once again at R15 and the overarching tragic narrative trajectory is confirmed. In this manner, Prokofiev accomplishes two different H-line-driven transitions that transform S into P. Thus far, the second movement of Prokofiev's Sixth Symphony, as viewed through the inferential level of subjectivity in a virtual agential framework, has established an overarching narrative of tragedy



Example 5.3: Symphony No. 6, II, S-theme's transformation into the P-theme during the recapitulation, R14-5 through R14+1 (mm. 141-147)

reinforced by a sense of inevitability. This was accomplished through an emergent dialogue between themes that, in their own ways, ultimately end with a sense of goal-denial. The primary theme is denied cadential closure, the secondary theme fails to end on its own terms, and even the development theme harkens both back to the S-theme as it appeared in the exposition as well as projecting forward to that same theme when it begins the recapitulation. Thematic patterning thus plays a significant role in establishing and nuancing this musical narrative, not only in terms of this particular piece, but also in its broader dialogue with the larger sonata form tradition, invoking certain expectations only to sidestep them later.

However, this level of intra-movement thematic dialogue and patterning does not end once the primary theme dramatically restates its characteristic deceptive cadence. A few measures later, the coda begins (around R15/m. 155); it runs through material from the transition between the two main themes, then introductory material from the first nine measures of the movement. Altogether, the recapitulation and coda articulate an unusual thematic patterning: *S→P→TR→introduction material*. The movement then ends with isolated fragments from the primary and secondary themes (in a more solemn, D-minor realm before a final three-measure passage that makes a last-minute modulation back to Ab major).

This coda is significant in its odd treatment of primary and secondary theme material. While it is certainly not the first time a coda has invoked both of its main themes and put them through minor-mode variations only to finally end back in the tonic key, the final measures seem strangely unearned in their hasty reestablishment of Ab.

Three measures before the end, a solo oboe meanders away from D minor to Ab major without any clear linear motion at work. The final two measures then articulate Ab major without any melodic reference to the P or S-theme besides the aforementioned inner-voice undulation, now heard in the upper and middle voices. It is as if the work makes an awkward lurch to a traditionally final, relaxed, major-mode texture that just two measures prior seemed "unaware" of the oncoming end of the movement. This final passage may indeed function as a precursor to the more jovial finale that follows, but it still manages to wrap up this movement in a manner that does not quite conform to the overarching tragic genre expressed until this point, placing the listener in an ambiguous subjective state.

The role of H-lines in this movement and the emerging subjective agential level are largely intertwined. H-lines guide the motion to deceptive cadences (or are guided by an exterior agent) throughout this work, first establishing the sense of goal-denial on the level of the phrase, and then on a broader level when they underpin both transformations of S into P. They may be interpreted as background agents themselves, guiding not only surface and middle-ground motion but even initiating and accomplishing deeper levels of musical motion in terms of the thematic patterning of this movement. In the following chapter, I will build on this motion of the agency of H-lines themselves at all levels of a given work, and the role they play in enacting Asafievan symphonism for Prokofiev's music, showing a specific way in which he was able to define his own role as a Soviet-era composer.

Chapter 6: Prokofiev's Symphonism

ASAFIEV, FORM AS PROCESS, AND PROKOFIEV'S SYMPHONISM

The term "formalism" is often associated with official Soviet music criticism. Like the vaguely defined concept of Socialist realism, it was not used consistently and mostly served as an arbitrary means to remind composers and audiences of the centralized power structure in which they lived (Fairclough 2006, 14). However, formalism is generally understood as a pejorative term applied to the unimaginative use of "objective" formal archetypes that do not relate to the everyday lives of the Soviet people. The 1933 Moscow premiere of Prokofiev's Fourth Symphony (composed in 1928), as well as another performance at a prominent ten-day *dekada* festival in 1938, were either ignored or decried by officials and critics as symptomatic of foreign, "formalist" influences on the composer during his time in the West. Many critics claimed the work was too "objective" and had little to do with the Soviet people. For example, the Russian conductor Alexander Gauk characterized it as "all technique and no imagery – this, of course, is a formalist piece. Naturally, the images of the Fourth Symphony are not related to Soviet themes."[34]

Instead of employing these "objective" formal molds, it was argued that composers should conceptualize form as an easily graspable narrative trajectory that

[34] This and other reviews are found in Maria Frolova-Walker's translations in her chapter "Between Two Aesthetics: Pilnyak's *Mahogany* and Prokofiev's Fourth" from *Sergei Prokofiev and His World*, ed. Simon Morrison, on 472 – 474.

engages listeners without a formal education in music. As mentioned previously in the opening chapter, an official definition on Socialist realism was printed in a 1934 issue of *Pravda*: "Socialist realism, the basic method of Soviet artistic literature and literary criticism, demands truthfulness from the artist and a historically concrete portrayal of reality in its revolutionary development" (Fairclough 2006, 14).

Boris Asafiev argued for something similar in his attempts to overturn traditional conceptions of formal analysis and the role of form in composition. His new approach to composing, listening to, and criticizing music may be traced throughout his writing on "musical form as process" and symphonism. Like early Soviet critics—especially those in the Russian Association for Proletarian Music (RAPM), but also other Soviet composers—Asafiev criticized the part-and-parcel use of preexisting formal archetypes as static or "architectonic," and he proposed a more specific alternative: composers should depict easily graspable narratives or idealized "[portrayals] of reality" by way of a compositional process that foregrounds the dynamic, kinetic, and temporal dimensions in which we experience or perform music. This position was held by numerous Soviet musicologists besides Asafiev, wherein music "needs to be propelled forward by a continuous stream of developing images in order to reflect an unfolding reality" (Smrž 2011, 69).

While Asafiev agreed that Soviet music should follow a formal model rooted in "the musical instincts of the mass listening public" (Fairclough 2006, 56), he did not think this necessarily entailed the use of choral or song-symphonies (such as Shostakovich's Second and Third, which employ texts by proletarian poets). Instead, he

favored an "evolutionary rather than revolutionary approach to artistic development" with roots in the Austro-German symphonic tradition, and with Beethoven as its chief model. Asafiev's alternative position would "take pressure off composers to demonstrate political engagement, chiefly by arguing that the quality of 'symphonism' itself was inherently democratic by its foundations in the spirit of 'dialectic' and hence (so the reasoning went) of revolution" (3-4). This "dialectic" involved both an interaction with listener expectations as well as a formal model built on variation, which I will explain in more detail below.

As I noted in the opening chapter, Asafiev's emphasis on the ineffable qualities of musical experience draws from the philosophy of Henri Bergson and his notion of *durée*. When Asafiev applies this kind of duration to the level of an entire piece and approaches it from an analyst's or listener's perspective, he argues that form is best understood as the tracing of (1) a work's initial equilibrium and (2) its subsequent disruptions, which lead to (3) some sort of resolution. While this tripartite formal generalization resembles similarly vague "beginning-middle-end" trajectories, it is important to note that Asafiev traces this trajectory almost entirely by means of motivic development (Haas 1998, 79). To this end, Asafiev proposes an unfolding motivic process that preserves coherence despite dramatic disruptions. As I alluded to in the previous chapter, a "dialogue" among a theme or motive and its subsequent variations may be traced through any number of orchestral works, but this process becomes foregrounded in Asafievan symphonism as a means of maintaining a sense of musical dynamism.

Asafiev's organic thematic unfolding may be understood as comparable to Schoenberg's concept of developing variation with respect to transformations of a motive, although Asafiev does not go so far as to offer specific techniques of motivic modification, as does Schoenberg in *Fundamentals of Musical Composition* (1967). Nor does he offer close analytical readings of a preexisting ideal work, as found in *Style and Ide*a ([1950] 1975), with its examination of Brahms's developing-variation techniques. Instead, Asafiev discusses a more general developmental process that encompasses an entire work.[35] Indeed, he reclassifies form along these lines. For example, the development of a single theme is characteristic of a fugue, the development of two themes and their ensuing dramatic trajectory is typical of sonata form, whereas song forms exemplify undeveloped contrast and alternation of themes.

By "development," Asafiev includes the aforementioned "disruptions" to the opening equilibrium in his overarching form model, as well as the developing evolution of themes or motives, such that all iterations relate in a broadly organic way (Haas 1998, 64-65). In this manner, Asafiev reorients musical form from a static schema to a "ceaseless coming-into-being" that introduces a theme only to reveal its true character after numerous developmental perspectives. Ideally, this process takes "the longest

[35] Walter Frisch's discussion of Brahms' developing variation, alongside his critique of Schoenberg's approach, begins to address this principle on the level of an entire movement. Frisch says that Schoenberg speculated about the technique of developing variation guiding the logic of an entire work, but did not provide as much support for this idea as he did with earlier, more surface-level variation techniques. However, Frisch adds that Adorno argued for Beethoven's use of development throughout a work and its overtaking of conventional formal molds as the primary organizing principle on the level of form, and that he saw Brahms as the next stage in that process (Frisch 1990, 18-19).

possible detour" from the opening and closing states of a work, due to the emergence of various but always organically derived disruptions (67).

Western theorists have noted the seemingly vague language Asafiev employs in his new approach to composing, experiencing, and analyzing musical form.[36] However, these same scholars have also found that this vagueness can be productive: Asafiev appears to be encouraging his readers to reconsider the assumptions they bring to musical form, and to reconnect them to their intuitions as listeners, performers, and even composers.

I will do the same in this chapter, reevaluating Prokofiev's use of form in the third movement of the Fifth Symphony along these lines. Asafievan symphonism prompts us to ask certain questions that we may gloss over when beginning with formal archetypes in mind. How does Prokofiev take a given idea (be it harmonic, motivic, rhythmic, or some combination thereof) and develop it throughout the course of a given work? How do the final appearances of this idea (or ideas) compare to the opening statement? Where is the point of furthest remove from that first version? Do any patterns emerge when we consider the ways in which Prokofiev develops this idea?

We have already begun to answer some of these questions in the previous chapter. The emerging dramatic trajectory of "failure-to-achieve-a-goal" was expressed on the phrase level (in the primary theme of Symphony No. 6/ii) as well as in the larger form (the transformation of the secondary theme back into the primary theme within the exposition and the retransition). However, that discussion pertained largely to Hatten's

[36] see Haas 1992, 411, Monelle 1992, 274-275, and McQuere 1983, 217.

broadest agential level of subjectivity, as well as musical narrative within the broader context of an expanded sonata form.

In this chapter, Harrison's S- and H-lines—along with virtual agency, narrative, and formal functions—will be viewed from the perspective of Asafiev's processual notions of musical form. I adopt this perspective in order to better interpret Prokofiev's compositional processes, since Asafiev's ideas may be understood as part of the general cultural context in which Prokofiev conceived the third movement from the Fifth Symphony.

This movement marks the least traditional use of form among the War Symphony movements, in that it may be read as a (quite varied) sonata form with a lengthy transition section, a brief S-theme (with TR material appearing within it), a recapitulation that omits both the TR and S-theme, and a lengthy, surprising coda. However varied, these formal labels still rely on exterior formal molds designed for common-practice works. Of course, traditional notions of form help us understand how a composer works within, or expands upon, a preexisting formal paradigm. Beyond these sonata archetypes, however, Asafiev's emphasis on the linear, durational dimension of our experience highlights ways in which Prokofiev constructed not just a symphonic form but also a "ceaseless coming-into-being" of musical development. Again, however vague we may find Asafiev's descriptive (and ultimately prescriptive) language, it can also help free us to engage with the work's more dynamic and energeticist processes, not just on the surface, but also at the broadest levels of form.

In alluding to the prescriptive aspect of Asafiev's language, I note that his ideas constitute an alternative polemic for an ideal approach to Soviet music, even as they bear similarities to preexisting, Austro-German writings in their energeticist (Kurth) and developmental (Schoenberg) emphases. Nonetheless, Asafiev goes further, with two other important concepts. The first is the notion of "melos." Conceived as the energetic dynamism between melodic tones, this idea reveals the influence of Ernst Kurth (whose book, *Foundations of Linear Counterpoint*, was translated into Russian under the supervision of Asafiev) (Rofe 2012, 16). Melos, for Asafiev, pertains to the surface level of a musical work, specifically its motives and themes, much like the Kurthian succession of pitches and the sense of energy and connectedness between them: "their coconditionality and unification with the 'breath.'" Asafiev argues that it is possible to schematize melody (phrase, meter, cadence) but not melos (flow, continuity, durée) (Haas 1998, 70).

In the third chapter of his book *Musical Form as Process*, Asafiev links the "static" formal archetype with our perception of musical motion: "If one examines a musical composition in its concrete reality…one must inevitably pass from the stage of the study of form-schemes…to the observation of the stages of motion in music or the process of its organization, and…to the study of the forces which serve as causes or stimuli of motion" (McQuere 1983, 227, quoting Asafiev 1930, trans. Tull 1972, 241). Such "musical forces" are akin to those described by Steve Larson and employed in earlier chapters of this dissertation, such as the implied magnetism of the leading tone and its ability to "postpone equilibrium" on the level of a phrase. Asafiev then takes a

broader look at these forces as "part of a complex chain of energy transfers" (McQuere 1983, 227), claiming that "the totality of these phenomena and forces…permits one to examine the process of the formation of music as a dialectical process with the continuous coexistence of opposites" (McQuere 1983, 227, quoting Asafiev 1930, trans. Tull 1972, 254).

I explain what Asafiev likely meant by "dialectical process" and "opposites" in the following discussion on symphonism as well as in my analysis on Symphony No. 5/iii. We may nonetheless propose a link between the surface level, kinetic motion of Larsonian musical forces (alongside Kurthian energetics) and Asafiev's surface level inception of formal organization. This musical energy leads to a more dynamic and perceptually-based understanding of musical form at the global level, i.e. musical form as process.

Asafiev's melos also emphasizes Bergsonian notions of *durée* and the shaping of melody in time (Haas 1998, 70, and Rofe 2012, 16-17). Herein lies an important similarity with Hatten's conception of melos and its ties to musical gesture, which also draws inspiration from Kurth. Hatten defines melos as the accumulation of thematic, motivic, and rhythmic gestures, along with counterpoint, dynamics, and other secondary parameters, in the formation of an encompassing, dialogical, and continuously evolving perspective on a musical work. Hatten's perspective, like Asafiev's, starts from more local level phenomena and encompasses broader implications. In addition, both definitions emphasize process in terms of musical, energetic shaping that results in an

"evolving" perspective for the listener, although Hatten incorporates a variety of musical parameters while Asafiev exclusively privileges melody.

Integrated with Hatten's definition of melos is his earlier writing on musical gesture. Defined as "significant energetic shaping through time" (Hatten 2004, 95), this concept shares its kinetic quality with the Bergsonian notion of *durée* but goes beyond the singular musical parameter of melody. Hatten's expanded notion of gesture begins the process of synthesizing what may appear (notationally) to be discrete musical events; thus, energetic shaping through time can "encompass more than one musical event (a note, a chord, even a rest), [providing] nuanced continuity that binds together otherwise separate musical events into a continuous whole." In this manner, a "discontinuous sequence of sounds (e.g., sounds separated by rests) may nonetheless be linked by a continuous thread of intentional and significant movement." Hatten acknowledges Kurth's energetic "insight that the gestural energy of a melody is phenomenologically more fundamental than the sequence of pitches of which a melody is compromised. Gesture presupposes the continuity of motion through a path for which tones provide the landmarks" (Hatten 2004, 114). This energeticist outlook also gives Larson's musical forces the dynamic temporal dimension they need in order to create the aural, linear phenomena we experience in S- and H-lines.

Moving toward the formal level, Hatten argues that "gestures can be hierarchically organized, in that larger gestures can be comprised of smaller gestures." For example, "phrase structure and melodic contour are two examples of the generalization of gesture to temporal dimensions greater than the perceptual present"

(Hatten 2004, 94). Hatten then proposes that musical form can also fall under his generalized notion of musical gesture: "…there may be higher-level gestures that a performer employs to help direct the listener's attention to the main structural outlines of a form, or an expressive genre. Such gestures play a narrative role at a higher level…" (95). With gestures operating at different temporal and structural levels, Hatten brings together musical energetics at the level of the motive, phrase, and the entire piece.

Prokofiev's musical gestures, like any composer's, operate within more than one dimension. As his melodies undergo variation, other musical parameters such as harmonic accompaniment, dynamics, rhythm, and texture may play a role in our interpretation of the new version's relation to its progenitor and its novelty as a new idea. Hatten's more inclusive, gestural take on melos can play a role in Asafiev's discussion of "musical form as process," because it encourages the analyst to bring a more encompassing scope to their interpretation, experience, and analysis of any given work.

In addition to melos, Asafiev makes use of another concept that helps distinguish his variation/processual approach to form: "linearism." This term describes the generalized use of stepwise motion in music. Such lines are not tied to any particular kind(s) of harmonic vocabulary. As Haas explains, Asafiev's "linearism" ultimately refers to "any sort of music in which melodic lines generate musical interest and make musical sense independently, to some extent, of harmonic logic" (Haas 1998, 74). Asafiev then argues that his formal trajectory of equilibrium-disruption-reunification can occur by way of melodic linearity and the development of lines, without regard to harmony. Arguing for melody's prominence in music, Asafiev claims "the melodic line

and its inherent potential for development ultimately condition form, for line constitutes the *conditio sine qua non* of musical motion" (70).

My foregrounding of H-lines that link distantly-related harmonic realms seems to align with Asafiev's emphasis on melody. However, I propose that there is more to Prokofiev's music than its use of melodic linearity. H-lines occur in less than half of all the War Symphonies' measures. Numerous passages modulate between distantly-related keys without the use of these linear connections. Conversely, there are some substantial polyphonic excerpts made up almost entirely of linear motion, but these are the exception. Harmony continues to play a role in Prokofiev's War Symphonies, both as an unfolding succession from which lines emerge, and/or as the provision of relatively stable, tertian pillars that mark the beginnings or ends of linear phenomena.

In addition to these crucial harmonic considerations, other musical parameters shape musical meaning and our interpretation of H-lines as directed musical forces, either supporting or undercutting their initiation, linear span, and final end point. Hatten's gesturally-informed expansion of melos gives precedence to a more comprehensive analysis of "musical form as process" that speaks to Prokofiev's use of linearity in the War Symphonies and the agential and formal hermeneutics this linearity may project.

Finally, returning to symphonism, it is worth reiterating its role as a particular kind of Asafievan, processual musical form. Bearing in mind his earlier categorization of fugue, sonata, and song-form, symphonism seems to apply most aptly to sonata form, although Asafiev does not make this distinction explicit. Nonetheless, a symphonistic work must employ disruptions made from "new material whose cumulative influence

produces a qualitative change in the unfolding musical work" (Haas 1998, 77). This use of "new material" is not inherent in his definition of a fugue in terms of its development of a singular theme (as per Asafiev's definition; of course, fugues are capable of employing more than one theme). Symphonism is further marked from the more general conception of "musical form as process" by characterizing this new material as oppositional to what came before. This type of opposition begs comparison with the role of secondary themes in sonata forms. Asafiev specifies that symphonism only truly arises when oppositions emerge, "out of which is born a coherent and extended musical motion." In other words, symphonistic works must seek out their resolutions on a grand, formal scale (77-78).

The third movement from the Fifth Symphony stands out as a clear example of symphonism in these respects. Indeed, Asafiev's processive perspective can help the analyst take new meaning away from its ambiguous formal structure, building on previous approaches to Prokofiev's music that focus on structures such as sonata form or classical phrases (Rifkin 2006, Morrison 2008). With a broader, Asafievan version of developing variation in mind, new aspects of Prokofiev's formal innovation emerge, which may help illuminate aspects of his evolving role as a Soviet composer. As a Western scholar, I do not presume to make generalized claims about what constitutes Soviet music and what does not. Instead, I use Asafievan symphonism as a way to build on familiar notions of form in a way that reorients our interpretation of Symphony No. 5/iii along new lines. We have already seen aspects of symphonism at work in Symphony No. 6/ii, where the developmental theme's resemblance to the secondary theme emerged

over the course of the retransition. As we will see in the third movement from the Fifth Symphony, symphonism is exemplified by Prokofiev's construction of oppositions that (1) function on many temporal/formal levels, (2) link distantly-related themes, (3) challenge traditional formal schemes, and (4) are reconciled in a surprising manner, with an ending that both synthesizes earlier material and transitions to an almost entirely linear harmonic logic.

AN INTEGRATIVE ANALYSIS OF FORM AS PROCESS IN THE THIRD MOVEMENT OF PROKOFIEV'S SYMPHONY NO. 5

There are at least five separate themes at work in this movement. The first two and the second two (in order of their appearance) are often grouped together, but they still manage to occur independently in various places. Example 6.1 shows these two themes as they appear in the opening sixteen measures. The first theme occupies mm. 4-9 while the second encompasses mm. 9-16. One may interpret them as two facets of the same theme, but their latter dissection suggests otherwise. Furthermore, the two themes articulate distinctive bass and melodic lines, and the lines in the initial unit are more stable than those that follow in mm. 9-16.

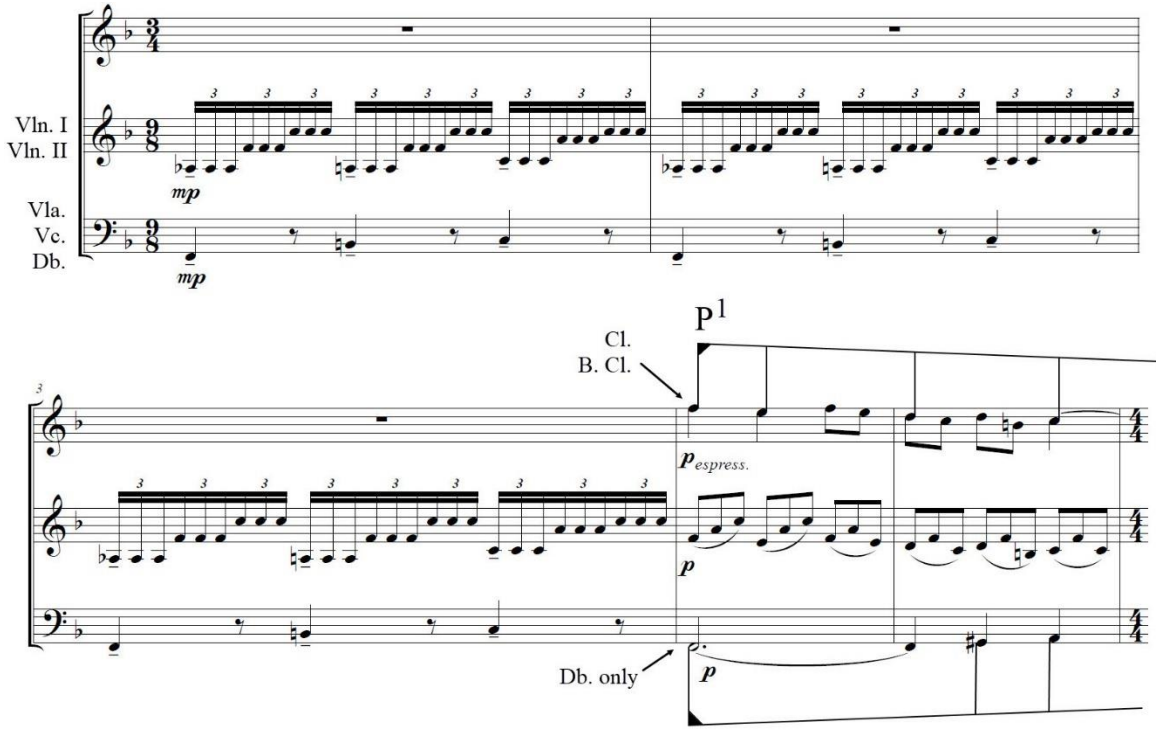
The first thematic unit is defined by an opening gesture consisting of a slightly elaborated stable-stable line in F minor, descending from F_5 to C_5. As if reacting to the prevailing motion of a stepwise descent, the latter half of this theme (beginning in m. 6) leaps upward through arpeggiated motions that end in a more unstable region by m. 9. Another leap-saturated gesture begins a new idea halfway through that same measure,

leading into m. 10. An astronomical change of register, accompanied by the initial absence of the woodwinds and dominance of the strings, conveys a much more urgent gesture. This phrase returns to the stepwise descending pattern first heard in mm. 4-5 and modulates from (roughly) B minor to G minor before the line dissipates. In the final measure of this theme (m. 16), the harmony shifts again to end on a C minor triad.

Despite the fact that this symphony was written between 1940 and 1944, the remainder of this movement easily brings to mind a retrospective interpretation of this opening passage as the primary theme (perhaps with an extended notion of Hepokoski and Darcy's P^1 and P^2 themes) in a larger sonata form interpretation. Further evidence for a sonata interpretation is found in the later emergence of a theme in the dominant minor key (C minor), albeit short-lived, and a quasi-developmental passage as well as the return of this primary theme in the same tonic key. However, unlike a typical sonata form, the secondary theme is conspicuously absent from this return section as is the lengthy transition section. I will discuss this overall formal design in further detail with Figure 6.1 below.

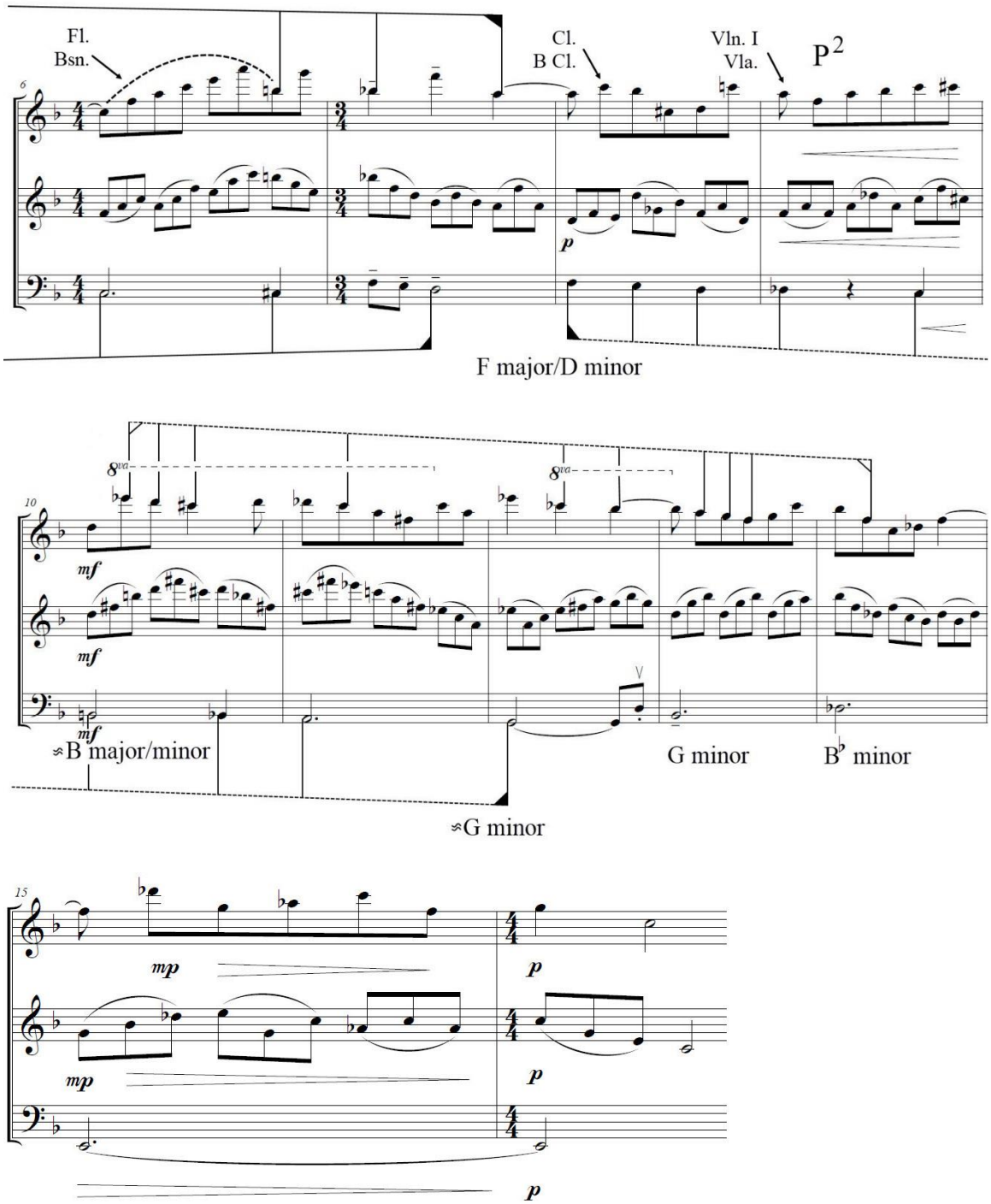
In discussing sonata form in opposition to a more processive Asafievan symphonism, I do not mean to diminish the validity of this interpretation (after all, Asafiev's model is Beethoven). Prokofiev's movement is likely "in dialogue" (as Hepokoski and Darcy might claim) with sonata form. Indeed, Asafiev advocated for the influence of Western musical forms even as he adopted a new perspective on how they should unfold. And as early as 1928, Prokofiev had also argued that Soviet music needed a "new simplicity" that involved "the art of composing serious, significant music, thereby

acquiring the technique of expressing [oneself] in simple, yet original terms."[37] Given the fact that Prokofiev made this argument in Paris while the RAPM was advocating for the use of provincial folk song in Soviet composition, we can speculate that he supported the incorporation of Austro-German formal archetypes, even though he does not mention this idea explicitly.



Example 6.1: Symphony No. 5, III, mm.1-16

[37] Shlifstein, Semyon, ed.: *S. Prokofiev: Autobiography, Articles, Reminiscences*, trans. Rosa Prokofieva (Moscow: Foreign Languages Publishing House, 1956), 99–100; Nice, *Prokofiev: From Russia to the West 1891–1935*, 320-21.



Example 6.1 (continued)

While the music in Example 6.1 may be heard as the presentation of a primary theme, it also encompasses an opening opposition between thematic gestures. As these melodies unfold in time, bound inextricably to the harmonic realms they span, they articulate a wide array of energetic trajectories: an initial calm in the stepwise descent is broken by the reactive leaps in mm. 6-8. This energetic uptick is amplified by a dramatic statement in the violins; despite their registral leap and increased dynamics, they ultimately return to the stepwise logic of mm. 4-5. Perhaps unsurprisingly, the point of furthest tonal remove (B minor) emerges when this leap takes place (in m. 10), aligning the melodic with the harmonic climax of the excerpt.

Despite the registral, dynamic, harmonic, and melodic differences between mm. 3-9 and mm. 10-16, other salient aspects tie them together, positioning the latter as an outgrowth of the former. As mentioned previously, both mm. 4-5 and 10-14 feature mostly stepwise, descending melodies. Throughout mm. 4-16, a triplet (or a grouping in simultaneous 9/8) arpeggiated accompanimental voice continues to sound. Additionally, the final harmony of this passage (a C minor triad) belongs to the tonic realm of F minor as a diatonic, minor dominant chord.

In this manner, Prokofiev constructs a larger theme that may be heard as "growing out" of its original material. Tethered to mm. 4-5 by accompanimental patterning, general melodic contour, and middleground tonal motion, the latter measures literally grow upward from the foundational measures at the same time that they introduce opposition as a premise. This process aligns with symphonism's emphases on an organic approach

with the oppositional nature of a given work expressed audibly.[38] The role of melos – both in terms of Asafiev's motivic meaning and Hatten's comprehensive, discursive definition – help explain the formation of this opposition, as described below.

Two types of Hatten's musical gestures relate to symphonism at large and this particular passage in Example 6.1: thematic and rhetorical gestures. Thematic gestures are "marked by initial foregrounding and subsequent development," as opposed to rhetorical gestures, which are "marked by [their] disruption of the otherwise unmarked flow in some dimension of the musical discourse" (Hatten 2004, 113). Prokofiev's primary theme-group constitutes one (or two) thematic gesture(s), because they begin the movement after a three-measure introduction ("initial foregrounding") and already show a degree of developmental outgrowth in this brief excerpt ("subsequent development"). The expectation that both of these theme units will face further development finds a wealth of precedent in other Soviet symphonic works as well as in the other movements of the War Symphonies. The second unit, P^2, as a musical gesture, disrupts the flow of P^1 and signals a stark contrast to its predecessor, thereby also functioning as a rhetorical gesture.

While one may not necessarily need a gestural framework or symphonism to perceive a general thematic opposition emerging here, Hatten and Asafiev draw our attention to the dynamic, synthetic quality of these gestures as shaping through time. The

[38] As with many organicist premises, I position differing elements as oppositional and similar ones as linking the two themes together. This then implies a self-reinforcing approach that subsumes any element, different or similar, under the umbrella of "organic growth." However, Asafiev's debt to the Austro-German organicist metaphor at-large notwithstanding, symphonism's approach still expands upon that tradition with an energeticist, processual emphasis that may help explain Prokofiev's own role as a composer with one foot in Western symphonic traditions and another in the Soviet symphonic realm.

kinetic motion from one note to the next, along with their harmonic implications, secondary parameters, and linear scaffolding, all come together to imply an active, virtual agent moving through a virtual environment. This agent premises the potential for later development; it either introduces another aspect of its character or yields to a new, oppositional one in mm. 10-16. In this manner, sonata form's conflict can move beyond tonal emphases and distant projections[39] to stay rooted in the ongoing thematic argument, the unfolding of an organically evolving musical discourse.[40] Indeed, beyond mere thematic resemblance, our interpretation of mm.4-9 versus 10-16 incorporates energetic and developmental processes alongside S- and H-lines, illustrating how new material builds on its original model. With the link between the two provided by way of the accompanimental voices, Prokofiev's smooth motion through distant harmonies reveals itself in his orchestration, as well as in the use of S- and H-lines.

Having returned to organicism, it is worth mentioning that the analyst does not need symphonism in order to interpret a work along the lines of motivic outgrowth and contrast. Indeed, organicism as an aesthetic principle has found innumerable musical applications, and the evolution of P^1 into P^2 is clear with or without Asafiev's ideas in mind. However, symphonism still stands as a marked principle against an unmarked,

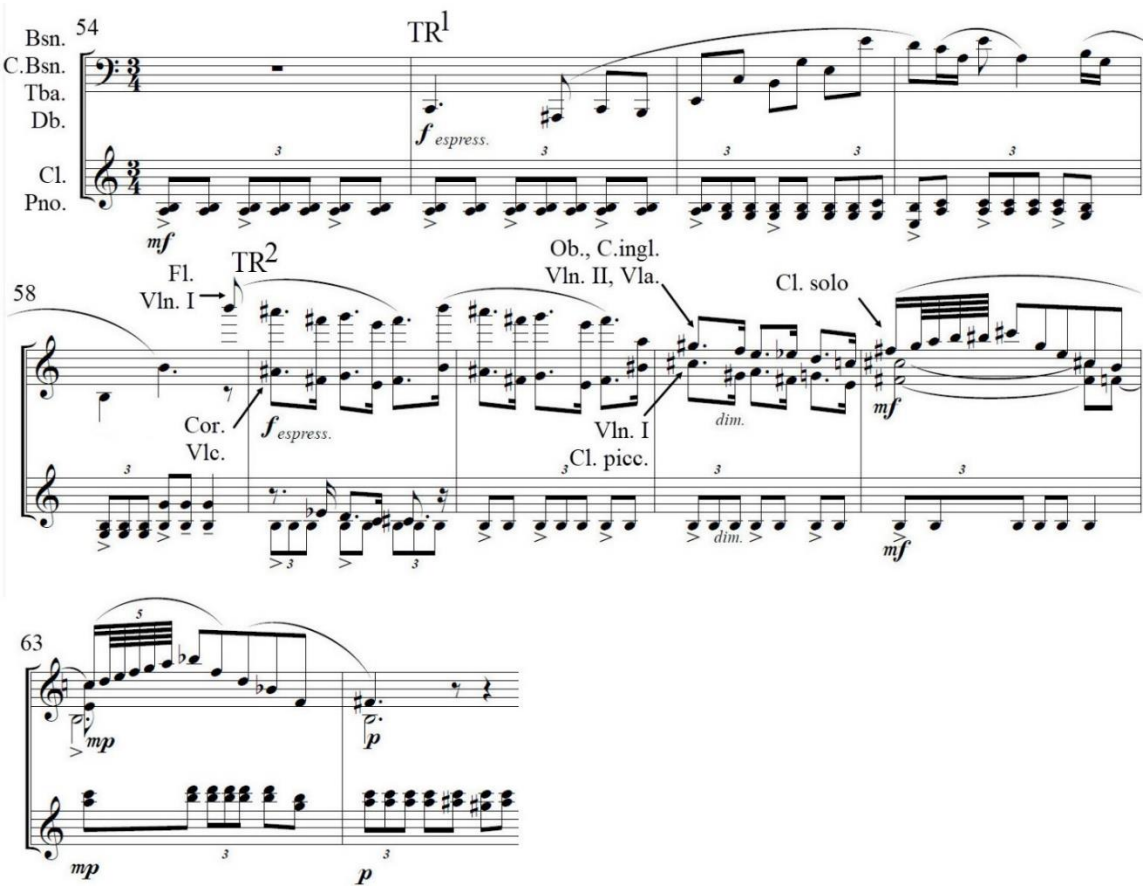
[39] By "projections," I refer to the expectations that formulate during a work in sonata form that a secondary theme will arise in another key, bringing about thematic and tonal conflict, which will find resolution in the recapitulation when both themes return in the tonic key.

[40] I do not intend to broadly generalize all other approaches to sonata form as "stagnant," "architectonic," or stale. Indeed, some recent approaches explicitly eschew such ideas; compare Hepokoski and Darcy's dialogic form, which views the sonata as compositional "process, a linear series of compositional choices [that] enter into a dialogue with an intricate web of interrelated norms as an ongoing action in time" (Hepokoski and Darcy 2006, 10). Instead of disparaging other sonata theories, I am focusing on symphonism's formal emphases because it is (1) contemporaneously relevant to the War Symphonies and (2) it foregrounds energetics, which aids in the inference of musical forces and virtual agency in these works.

generic organicism, not just in terms of what I have already discussed, but in the remainder of this movement as well.

In the following analysis, symphonism will refine organicism's principles by emphasizing (1) the energetic aspects of the developmental aspects of a given theme or motive, (2) the emerging discourse between these "disruptions" and how they relate to the opening statement, and (3) the ways in which this work, even with one foot planted in the Austro-German symphonic tradition, still exemplifies Soviet symphonic principles.

Example 6.2 shows the next two-part melodic statement (mm. 54-64), which takes place during the transition between the primary and secondary themes. Distinct from the opening passage and now rooted in E minor, its first gesture (spanning mm. 55-58) consists almost entirely of leaps that exhibit an overall ascent from C_2 up to B_4 in the bassoons. The second gesture begins on the upbeat to m. 59, when the strings, horns, flute, and piccolo all project a dotted-eighth-sixteenth figure two octaves higher. This registral shift is accompanied by a change from leaps to stepwise motion and a departure from C major to something closer to F# major. This division within the two transition themes is not as evenly split as the primary theme in Example 6.1. However, like the two primary theme units, these secondary theme units are still tied together with an accompanimental pattern, which now occurs as an alternating two-three-two eighth-note figure. This connection between the two themes occurs with a marked thematic absence of any S- or H-lines in this excerpt. Instead, arpeggiations in thirds, sixths, or octaves define these themes. It may remain feasible to draw linear connections in the TR^2 theme,



Example 6.2: Symphony No. 5, III, mm.54-64

e.g., A#$_6$-G$_6$-F#$_6$ in m. 59, or the G#$_5$-C$_5$ descent in m. 61, but these lines are brief or, in the case of m. 60, may simply function to lead in to the next measure's more marked melodic gesture.

Transition themes are not new to Prokofiev, nor is a lengthy transition section that establishes its own character. While the Fifth Symphony may not be bound by the same formal and tonal rules as the works of the common-practice era, tracing the precedents for this unusual formal expansion may help illustrate this work's exterior dialogue with

the sonata tradition at large. Hepokoski and Darcy 2006 list the "independent transition" type as one that often has its own theme, modulates to a key other than the expected dominant or mediant, and announces its arrival by way of a "tutti affirmation" (95). Not all such affirmations occur right away; they may be delayed when the transition section "begins piano and soon thereafter shifts suddenly into a forte dynamic. Here the effect is often that of a double-stage (or multistage) TR" (113). Of course, it may seem ironic to incorporate aspects of Sonata Theory into a chapter on symphonism when Asafiev specifically argued against traditional notions of formal archetypes. However, Hepokoski and Darcy's approach shares some commonalities with symphonism in its more dynamic approach to composition as a process in which composers faced choices in terms of first-, second-, and third-level-defaults. Additionally, Prokofiev's (and Asafiev's) invocation of the common-practice tradition, however flexible, places this 1944 work in some dialogue with previous works that employed elaborate, multi-faceted transition sections.

Besides the inner opposition between the TR^1 and TR^2 themes, this transitional theme-group may be understood in its broader external opposition to the primary theme heard earlier as another theme in a new key. This speaks to symphonism's characterization of sonata form in terms of dualistic themes and their dramatic trajectory. Of course, most sonatas feature two themes, and this dualism would be noted with or without symphonism. Whereas Asafiev may have been open to the idea of an emerging dialogue between melodies, he would not have gone so far as to prioritize an

"architectonic" sonata form.[41] Instead, he likely would have focused on the energetic swings we undergo as listeners and interpreters of this movement, particularly within its main themes. In other words, Asafiev's perspective points to emerging oppositions within parameters other than the large-scale form, such as orchestration, melodic structure, and surface-level harmony. Indeed, thus far this movement is accumulating oppositions among various parameters while maintaining an independent dialogue with sonata form itself.

In addition to its role as a large-scale oppositional theme, it is feasible to draw connections between the transition and primary themes. Of course, their differences outnumber the similarities, but mm. 56-57 bear a melodic resemblance to P^2, particularly its final gesture in mm. 15-16. These passages both feature sequential, descending fifth leaps, albeit with the leap in m.57 (from D_4 to A_3) decorated with an initial step to C_4. There are other, more loosely-based connections, such as the upward, leap-wise logic found in both TR^1's opening gesture and m. 5 of P^1, but this similarity is not entirely compelling since motion by upward leaps is not an especially marked form of melodic articulation. Finally, it is worth noting the similarly extreme change in register between TR^1 and TR^2 that was first heard between P^1 and P^2. Ultimately, these commonalities do not necessarily constitute the kind of clear, motivic outgrowth privileged by Asafievan symphonism. Nonetheless, these ties to the primary theme group suggest a subtle

[41] Again, the term "sonata form" does not necessitate a stagnant formal mold. In his aforementioned 2012 book *Dimensions of Energy in Shostakovich's Symphonies*, Michael Rofe shows how large-scale key relationships (between theme-groups) often resulted in tritone relationships that resolve in the recapitulation. Perhaps these more recent, kinetic formal analyses would have softened Asafiev's critique of contemporaneous formal analysis.

connection between the two, positioning the secondary theme group discursively as a larger-scale opposition.

Of course, as with any broadly organic approach, a search for similar features between themes will almost always yield some results which can then be used to support the argument that they are somehow connected. Conversely, any differences between the two are then attributed to the "outgrowth" of the primary theme. This self-reinforcing approach leaves nothing outside an all-encompassing organic approach. Thus, some of the same critiques of twentieth-century sonata form approaches may be levelled at symphonism's approach to thematic variation. Nonetheless, Asafiev's approach to formal process may still speak to Prokofiev's "Soviet style" as opposed to his earlier and middle periods (until 1917, then 1917-1935, respectively) and how his music may have changed in response to the demands of Socialist realism during the 1930s and 40s. For example, this more organic, "ground-up" approach to constructing thematic opposition speaks to the previously mentioned critiques of the Fourth versus Fifth Symphonies by Schwarz (1972) and Fanning (1993); the Fifth Symphony's themes take on stronger interrelationships than those found in the Third and Fourth.

Returning to the exposition of Symphony No. 5/iii, one may argue that Examples 6.1 and 6.2 do not constitute bifurcated themes (P^1 and P^2, TR^1 and TR^2) as much as two continuously varied, singular phenomena (just "P" and "TR"). However, Prokofiev's treatment of these themes later in the movement, especially when their second halves (P^2 and TR^2) appear more frequently than the first, suggests they are variable modules with harmonic and accompanimental patterns functioning as links to their respective first

halves. Additionally, the halved segments of these themes do not undergo variation to the same degrees. Finally, when viewed from the global perspective of the entire work, the "TR^2 theme," along with the actual secondary theme, refutes a simplistic sonata model and suggests instead an extended take on thematic conflict and resolution.

Before addressing the secondary theme, the entire formal design seen below in Figure 6.1 shows the large-scale role of the P-themes, TR-themes, and (singular) S-theme alongside the appropriate large scale formal blocks. While Prokofiev introduces new material throughout this movement, each segment (with the possible exception of a brief contrasting interlude during the P-theme) features varied material from either the opening P^1 or P^2 passage (from Example 6.1). Other examples of thematic integration include the use of material from TR^2 in the S-theme (beginning in m.82). During the development section, every theme resurfaces, but the majority of the melodic fragments come from TR^2 and the S-theme.

Before discussing these new ideas, the TR^1 theme bears further examination in terms of its later variation. The top half of Figure 6.1 shows TR^1 and TR^2 appearing contiguously and then undergoing repetition which is often varied (as indicated by "v" next to the later "TR" demarcations). Example 6.3 shows this first variation on the TR^1 theme (mm. 66-70) with numerous contrasts pertaining to pitch, rhythm, and orchestration, but still preserving the overall melodic contour of TR^1's first appearance in mm. 55-58. This TR^1v statement subdues the overall character of TR^1, restricting its overall range to a 10th (as opposed to two octaves), and with a slightly less intense dynamic.

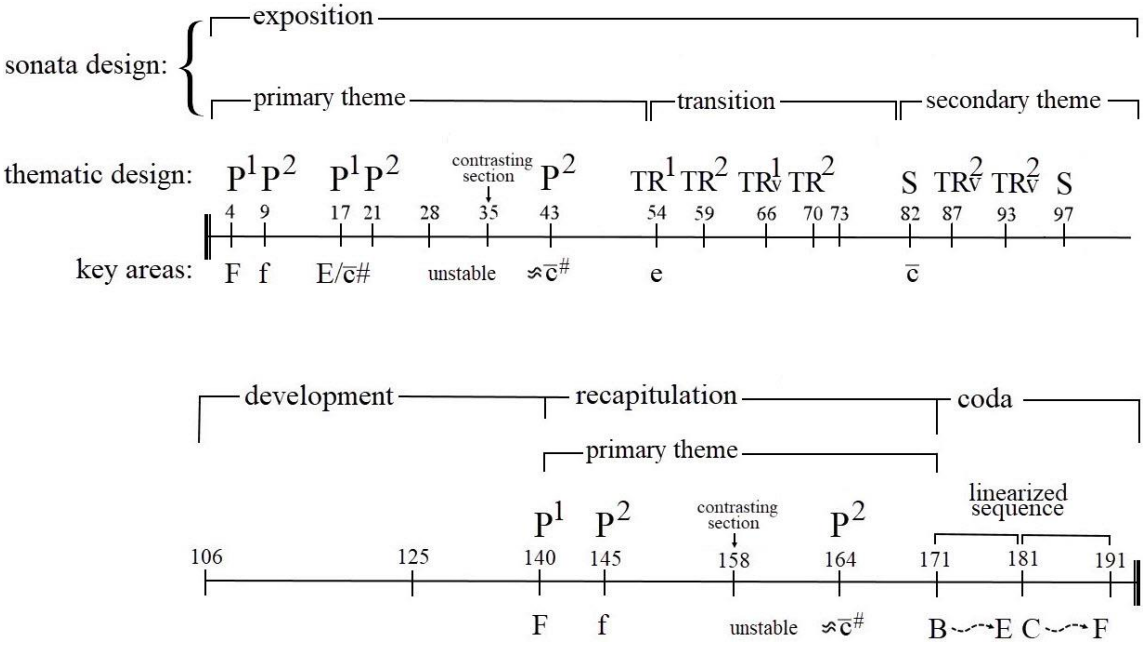
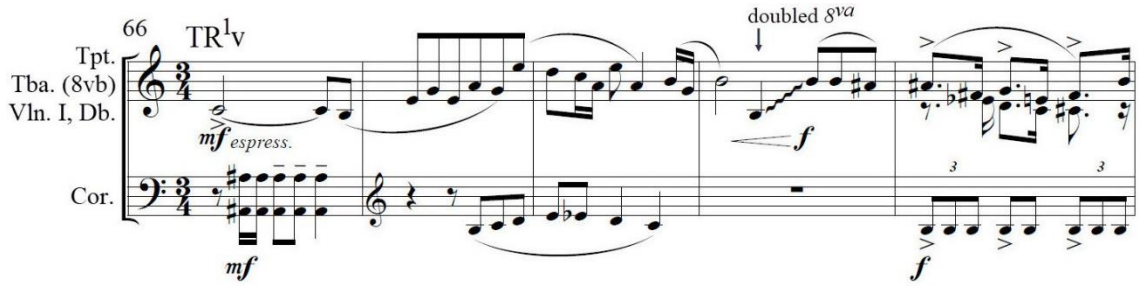


Figure 6.1: Symphony No. 5, III, formal layout

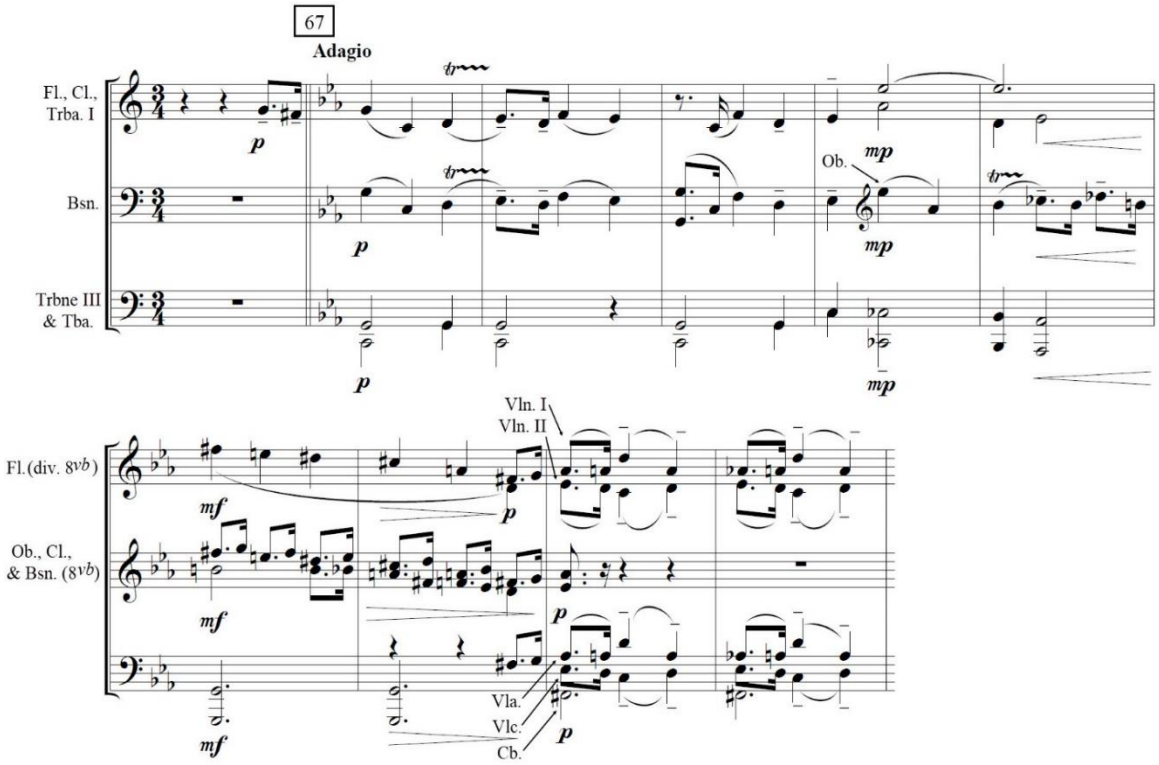
TR^2 returns in the following measures (mm. 70-72) and undergoes no variation, except for sounding two octaves lower. However brief, this constitutes an instance of exact (or near-exact) repetition. Disallowed under Asafievan symphonism, this passage shows that such a rule may not have been as high a priority for Prokofiev as it was for Asafiev.



Example 6.3: Symphony No. 5, III, mm. 66-70

Prokofiev also appears unconstrained by the Asafievan tenet that all the material in a given work should relate to what came before. A fifth theme—the secondary theme (if one interprets P^1, P^2, TR^1, and TR^2 to be separate themes)—emerges in m.82 after a written-in grand pause (see Example 6.4). While it may be feasible to make some melodic connections to P^1, this new idea sounds in stark contrast to earlier themes until it reaches m. 87. Occurring in C minor, this theme takes on a different character by slowing its tempo and shifting from the expected major mode to C minor. It states its brief opening passage twice (first in mm. 82-85, then 85-88) with overlapping linkages, as well as another link taking place in mm. 88-89 (although this one does not connect to another full statement of the S-theme). This thematic dovetailing did not occur in earlier themes.

Furthermore, the S-theme's dotted figures and marked use of trills gives it a solemn, serious character not heard since TR^2, which it also resembles by way of the repeated dotted-eighth-sixteenth figure in mm.87-88. At first, this descent contrasts with TR^2 (see mm. 59-60 in Example 6.2) when it continues downward as opposed to repeating a five-note motive like TR^2 does. However, m. 61 of TR^2 bears a great similarity to mm. 87-88 in the S-theme, with only a slight change in pitch and a shift from parallel motion in fifths (in TR^2) to motion in thirds. In this interpretation, the secondary theme relates to earlier material, but only after its opening gesture in mm. 82-85. Unlike the primary and transition theme group, I do not interpret the passage in



Example 6.4: Prokofiev, Symphony No. 5, III (S-theme), mm. 81-90

Example 6.4 as consisting of two different themes (as P^1/P^2 and TR^1/TR^2) since these ideas do not appear on their own later in the movement.

The brevity of the S-theme is a significant point of contrast with earlier material. Two measures after the passage shown in Example 6.4, a return to TR^2 interrupts the S-theme, but even this varied return only lasts for two measures itself. Over the next 27 measures (until m. 115), the secondary theme continues in dialogue with other TR^2 fragments, even appearing simultaneously with them in mm. 97-101, forming two elaborated H-lines in similar motion. In sum, these two ideas are so thoroughly intermixed that it may be possible to hear the TR^2 theme as a motive that has been co-

opted by the S-theme, forming a new, multi-faceted theme-group analogous to the coordination of TR^1 and TR^2.

The increasing difficulty that comes with attempting to rationalize this more surface-level thematic/motivic unfolding with sonata form speaks to the value of Asafievan symphonism. Rather than shoehorning this passage into preexisting formal molds (however implied they may have been so far) or attempting to encompass these themes as simply an expansion of sonata form, symphonism keeps formal analysis closer to the surface. While I am obviously looking beyond the surface to draw similarities and contrasts with earlier themes, the overarching interpretation may stand on its own as a surface-level unfolding of oppositions, variations, and even reconciliations. Again, it is worth noting that opposition, variation, and reconciliation are inherent in the definition of sonata formal design. However, sonata form's dramatic trajectory takes place in larger chunks, with these generalized, narrative ideas loosely aligned with the exposition, development, and recapitulation. Symphonism helps draw out hermeneutic oppositions and thematic variation within these groups as well as among them. Furthermore, symphonism brings our attention to the energetic aspects of these oppositions and variations, thereby providing easier access to virtual, agential readings of these works.

My written interpretation of Example 6.4, however plausible as part of a formal archetype, finds a closer tie to our aural experience when we hear themes and motives as outgrowths (or, occasionally, as exact repetitions) of earlier material. We are tracking an ongoing dialogue between ideas that may not all be as coherently related (or varied) as Asafiev would like, but nonetheless exemplify a kind of developing variation. This

diachronic perspective does not necessarily cast an eye forward to any large-scale repetition, such as the sonata form's recapitulation, so much as it looks to the following measure or phrase to accumulate some new semantic kernel of thematic development in the large-scale unfolding discourse. In this manner, Asafievan symphonism may serve as a useful complement to tracking expansions or deformations of formal archetypes in other post-1900 tonal works.

While the dialogic passage between S and TR^2 that follows Example 6.4 (not shown) may bear similarities to the rhetoric of a development section, the introduction of a radically new theme (S), and its co-opting of TR^2, do not compete with the degree of rapid development that occurs between mm. 106 and 140. Here a substantial change in harmonic progression and tempo suggests that a new, larger-scale formal segment has opened up: a development section with quick, fragmented motion through previous themes. This portion of the movement (with the development "proper" taking place in mm. 106-124 and then a climactic retransition occurring in mm. 125-139) focuses almost entirely on the transition themes (both TR^1 and TR^2) before the primary theme returns at m. 140.

The following "recapitulation" is an exceptional one for the War Symphonies in that P^1 and P^2 are repeated verbatim. Unlike the exposition, however, both P^1 and P^2 avoid modulating to E major/C# minor and remain in F minor (overall) until P^2 enters in C# minor. Most surprisingly, the transition and secondary themes are also omitted. This may not constitute an entirely radical idea; both Fairclough (2006) and Fanning (1993) mention truncated recapitulations appearing in successful Soviet symphonies. Perhaps

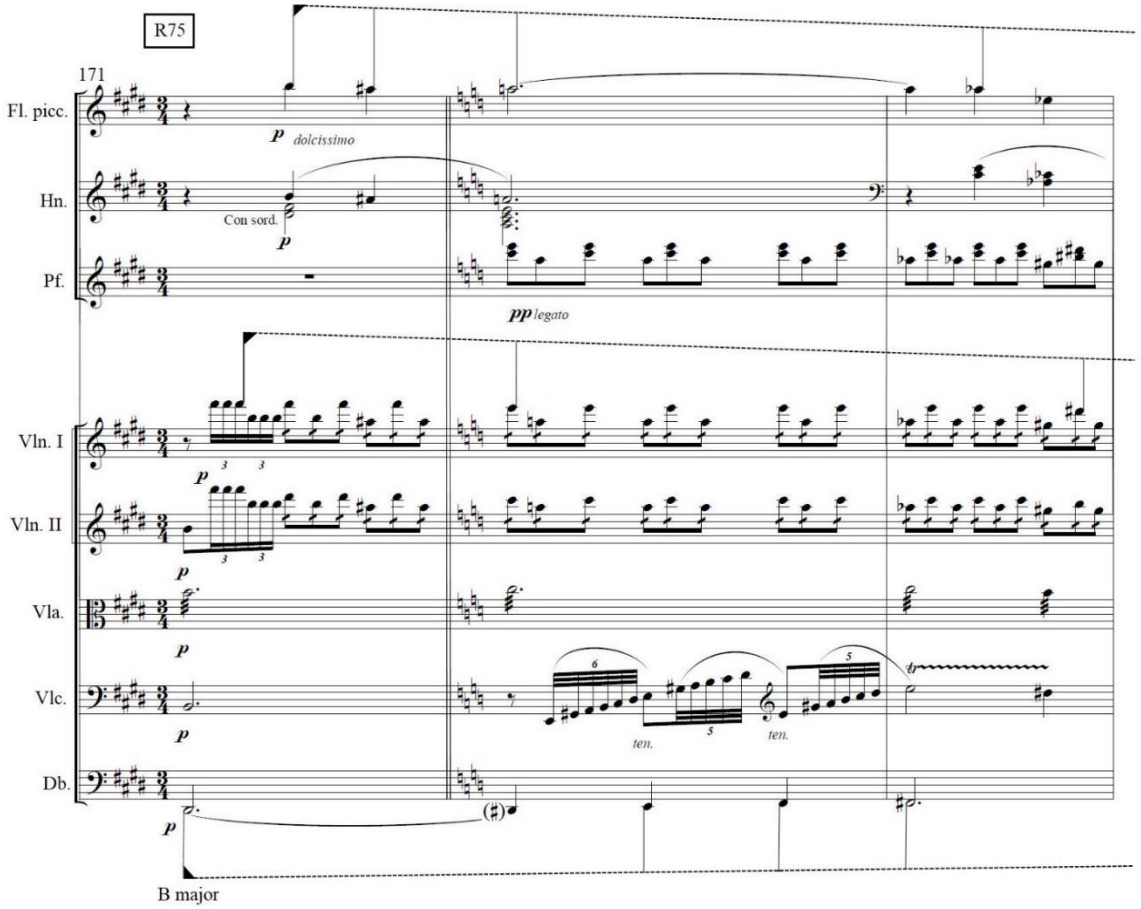
more relevant to symphonism is the unusual, verbatim repetition of previously heard material in the primary theme's return; throughout the movements of the War Symphonies, recapitulations have usually been varied to a greater extent.

In terms of overall formal trajectory and closure, the "recapitulation" offers some resolution in terms of thematicism and long-range tonal projections. However, this movement does not position its recapitulation as the closing statement with respect to the overall dramatic trajectory; that role is filled by an extensive coda. Innumerable sonata forms also end with a coda, often visiting other tonalities and subjecting main themes to further development. This particular coda, however, varies previously heard material to such a degree that the aforementioned "recapitulation" is thrown into relief as, perhaps, a reminder of what the main theme sounded like before it was varied almost beyond recognition.

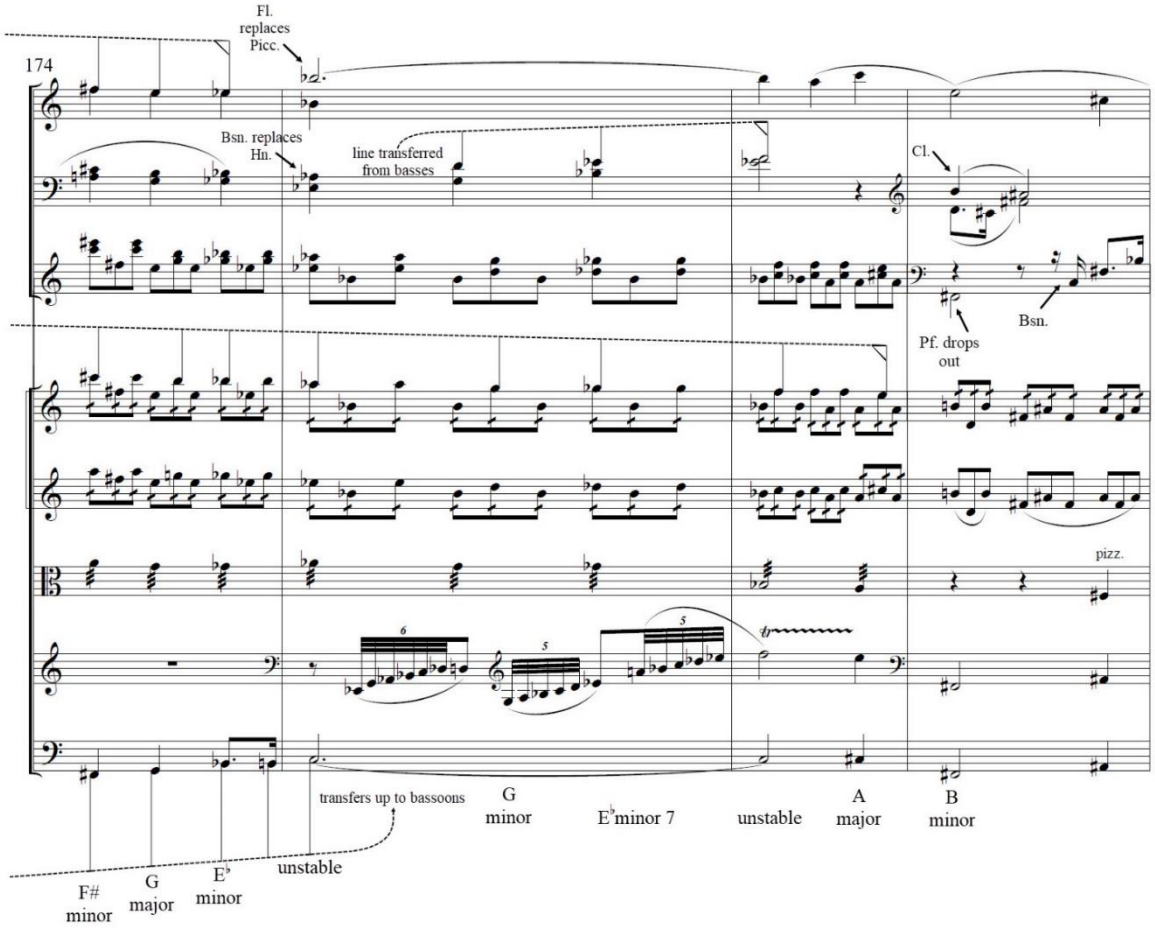
The coda begins in m. 171 and is essentially made up of two statements of a polyphonic and almost entirely linear passage. The first statement (mm. 171-180, see Example 6.5) employs up to three simultaneous, lengthy H-lines that ultimately move from B major to E major. The second statement (mm. 181-190, not shown since it is essentially a transposition of the material in Example 6.5) begins in C major and returns to the tonic F major. Of course, innumerable codas move away from the tonal center of a work and return by their end, but the extensive linearization of this passage brings about a new dramatic synthesis that reshapes the overall formal trajectory of this movement.

As the coda begins in m. 171, the piccolo, basses, and the Violin I/Piano's right hand each start their own H-line, resulting in an unusual coordination of three

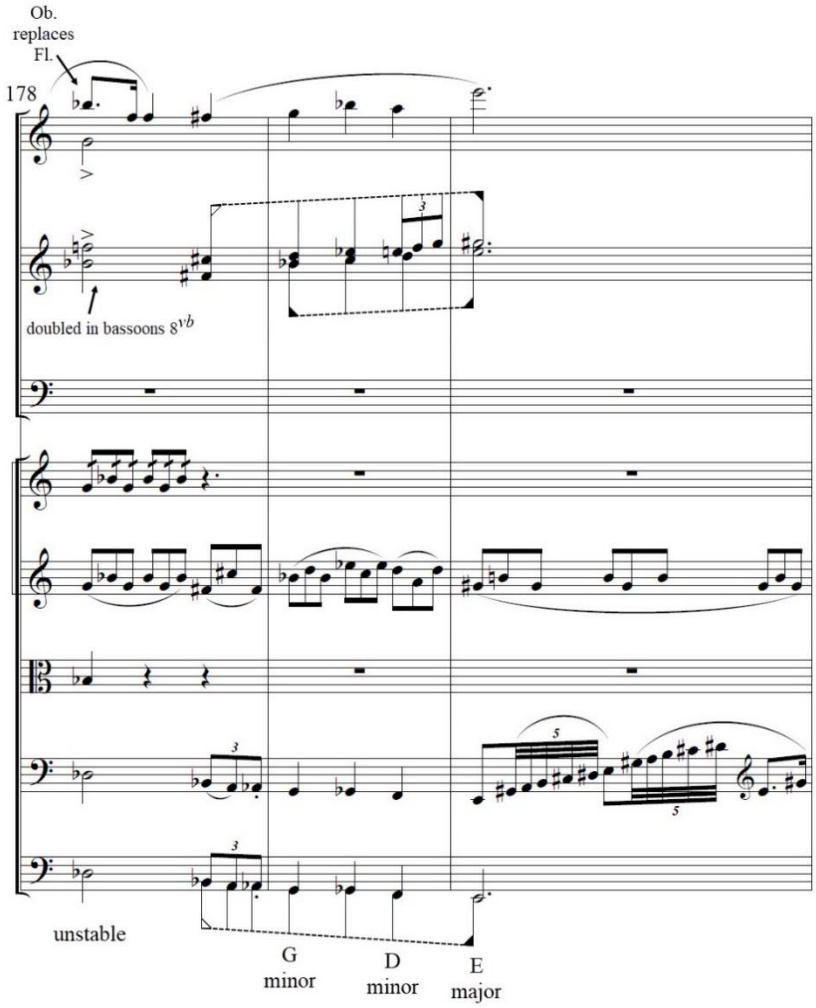
simultaneous lines. The piccolo and piano/first violin move downward while the bass ascends. The first to end is the piccolo in m. 174, while the basses end their ascent one measure later. The first violin and piano continue for another two measures. However, the basses' ascent continues past m. 175 where it transfers to the bassoon, continuing upward with the Db-Eb-F gesture leading to m. 176. This maintains the polyphonic texture, as no one line is ever left alone. In fact, the only break in these linear structures comes in



Example 6.5: Symphony No. 5, III, mm.171-180



Example 6.5 (continued)



Example 6.5 (continued)

m.177, when the motion briefly pauses before moving to C major for a repetition of this passage. In this second, slightly varied instance, only the instrumentation undergoes some subtle changes, with the addition of the violins as a melodic voice close to the piccolo's register.

While these three lines move independently through the coda, one may argue that the piccolo's line is far more "melodic" than the other two, since it stands out by its more

salient rhythmic profile and higher register. Nonetheless, even with the piano line's rhythmically consistent accompanimental role, the bass line ascends in dialogue with the piccolo. This "dialogue" emerges when one line seems to pause while the other moves, in effect "listening" and perhaps responding (agentially) to the other. However, this pattern is not always the case; mm. 174ff. shows them moving together. By and large, however, there is rhythmic give-and-take between these two H-lines.

While it also begins with a descending half step, the piccolo's line bears little melodic similarity to the P^1 theme. It may be feasible to draw a comparison between the downward leap (and stepwise rise and fall) in mm. 172-173 and the leaps of the P^2 theme at the end of m. 6 into m. 7 (shown back in Example 6.1). However, these links are quite tenuous; stepwise motion does not necessarily constitute a sufficient *motivic* connection, and the leaps in question do not match in terms of intervals. The coda certainly contrasts with what precedes it, especially in terms of its polyphonic, linear texture. Yet, still in terms of texture, the coda bears some resemblance to P^1 and P^2, although the first versions of these themes appear in a homophonic setting.

As mentioned earlier, the link between P^1 and P^2 emerges in the three-note-groupings of the violin (and later viola) accompanimental parts that continue under both themes. A similar grouping appears consistently in the coda's piano/first violin line. Also, while the basses in the primary theme do not move in a linear fashion as contiguously as they do in the coda, an underlying ascent and descent may be traced in mm. 4-12 as in the coda's mm. 171-180. Of course, arch forms are certainly common in a great deal of Classical repertoire, but this linear rise and fall over the span of eight measures is not as

common a bass pattern in the War Symphonies. While an overall three-part orchestration (bass/middle-voice(s)/melody) appears throughout Prokofiev's symphonic repertoire, as well as in countless works in the common-practice tradition, the specific similarities of the middle and lower voice strengthens the tie between the primary theme and its appearance here in the coda.

I argue that these textural and orchestration-based similarities, along with the melodic similarity at the beginning, allow for a connection to emerge, however distant, to the opening passage of this movement. If heard as a transformation of the primary theme, this coda constitutes a striking new take on the first Asafievan stage of "equilibrium" established by the opening thematic gesture of P^1. Although the initial equilibrium stage was disrupted by both varied and unrelated material (both of which often emerged as rhetorical gestures), each variant remained in dialogue with the opening passage until the coda, whose transformation of this material constitutes an outcome or "resolution" of the large-scale, global dramatic trajectory. The coda, in its position and role as the literal closing section of the movement, does more to articulate this large-scale outcome than the recapitulation.

What does this "resolution" mean, beyond its structural position at the end of the movement? As mentioned earlier, Asafiev argued for an ideal ending that works out "its resolution on a grand scale" (Haas 1998, 77-78). Left open-ended, it appears at first that any sort of conclusion interpretable as grandiose might qualify. However, perhaps this ambiguity offers flexibility more so than vagueness; in terms of Prokofiev's adaptation of symphonism, this coda transforms the theme into a new kind of harmonic logic not seen

elsewhere in the War Symphonies. This logic involves the same fluid motion through distant key areas, but driven almost entirely by linearity.

It is worth noting that Example 6.5 represents a voice leading reduction, highlighting the individual lines at work while omitting H-lines that are merely doubled in other parts (with the exception of the piano and first violin). With this in mind, there are only a few brief exceptions to a linear unfolding. In this manner, Prokofiev's variation techniques deal with texture and timbre more so than melodic content: his usual tripartite voicing remains (melody/inner-voice(s)/bass), but the texture has changed from monophonic to polyphonic. Thus a "resolution" of the ongoing "disruptions" involves a recasting of the opening state of "equilibrium" (the first hearing of P^1) with respect to a new paradigm of musical motion—one guided by linearity itself. Of course, the overarching motion back to F major constitutes a preconceived return to the tonic key, and thus harmony also plays a role in the coda's trajectory to the final measures. Nonetheless, linear saturation appears to restrict every part to a (nearly) stepwise progression.

Up until now I have discussed the coda in terms of its relation to the primary theme and overarching form of this movement. In an effort to adhere to symphonism's more energeticist, surface-level emphases, one should also consider the role of the H-lines within the coda. Over the course of the passage shown in Example 6.5, there seem to be two main linear progressions. The first begins right away in m. 171 and continues until the last of these three lines ends in m. 176. Next, three linear motions begin again at the end of m. 178 or on the downbeat of m. 179. The first series of lines all start on stable

nodes but end on unstable ones, even when their respective end nodes are staggered over the course of three measures (mm. 174-176). The second series of lines, while much shorter in terms of both constituent line members and measure length, take the opposite trajectory, with unstable-to-stable lines (with the exception of the inner-voice line which is stable at both endpoints). Additionally, the lines making up the two upper parts (the melody and inner voice) shift from descending to ascending, whereas the bass line does the opposite. The resulting inward-to-outward wedge conveys its own microcosm of stability-instability-return, perhaps comparable to the "equilibrium-disruption-resolution" goals advocated by Asafiev. Even if such a generalized formal trajectory may be easily applied in numerous contexts and at numerous structural levels, Prokofiev's ability to employ prolonged linearity toward this end is worth considering.

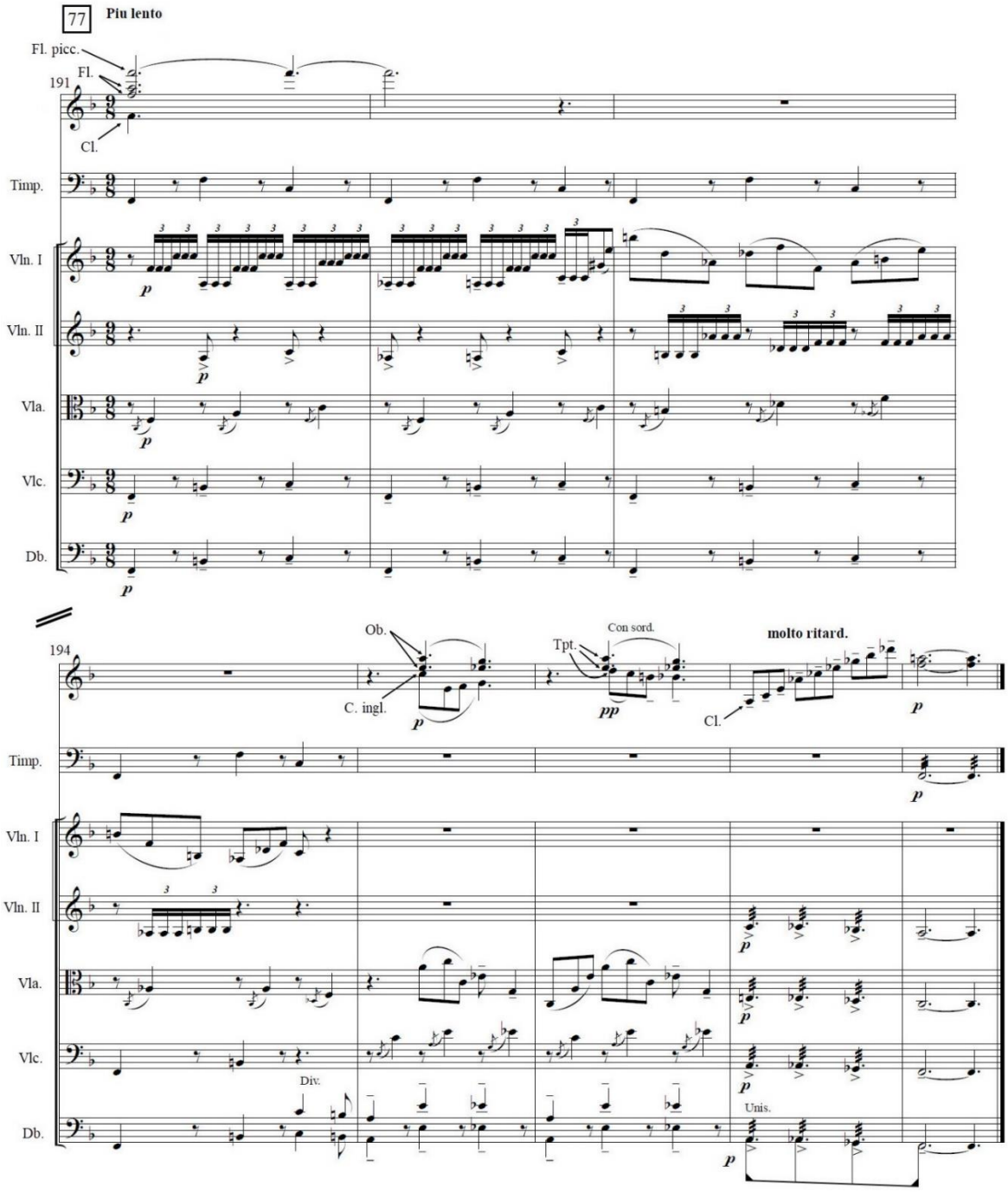
Prokofiev is by no means the first to position the coda as a transformative tool for thematic and dramatic closure, but Asafievan symphonism's end-oriented approach to formal resolution helps focus the analysis on the literal closing of a given work as opposed to the recapitulation. This is not to say that sonata form analyses necessarily disregard the coda in terms of its expressive potential or structural substance. However, Hepokoski and Darcy's *Elements of Sonata Theory* seems to lend the recapitulation a more significant role in terms of formal closure when they discuss the exposition, particularly in regard to its essential expositional closure (EEC) as a "structure of promise." The exposition functions to "predict the plan and purpose of the entire third space—the recapitulation, which finally resolves the work," looking ahead to

recapitulation's essential structural closure (ESC) as the "structure of accomplishment" (2006, 17-20).

Viewing the entirety of the movement in Figure 6.1, symphonism adds a new perspective to preexisting notions of formal trajectory by way of a process that tracks the unfolding discourse. Each new formal section may be viewed as a disruption that (usually) also grows logically out of earlier material, but without necessarily projecting towards a crystallized notion of closure in the recapitulation. However, a long series of disruptions and/or links, driving toward some return to an equilibrium that substantially differs from the opening, characterizes a trajectory that can complement preexisting formal norms, even if they are somewhat extended. After all, this movement does not strictly adhere to symphonism in terms of only articulating one continuous stream of variations any more than it fits neatly into sonata form.

If the coda constitutes a dramatic outcome, its overall character seems to have drastically changed. The underlying harmonic support is less stable than that of the opening measures, and it changes at a faster rate. The melodic rhythm, in contrast, slows to a less marked, quarter-note-saturated progression, with almost entirely stepwise motion guiding the initial move away from B major. This conclusion seems less stable and perhaps in need of a more conclusive gesture by the movement's end, which will be provided by the finale.

After the linearized sequence in mm.171-184, the outward wedge analyzed in chapter 4 (Example 4.2) takes place in mm. 185-190, again articulating a distant harmonic shift, before finally returning to the tonic F. What follows in the strings during



Example 6.6: Symphony No. 5, III, mm.191-end

mm.193-196 (see Example 6.6) constitutes one of the strangest passages in the War Symphonies, as Prokofiev abandons stepwise motion and F major for an almost atonal harmonic logic.

As heard in the Symphony 6/ii, a seemingly abrupt, unearned return to tonic (in this case, F major) sounds in the final two measures with a Phrygian, linear drive to cadence. This brief return to the movement's opening key may very well serve as a dominant preparation for the finale's restatement of Bb major (the tonic of the opening movement of the Fifth Symphony). It may also be heard as an ironic restoration of F, provided with a perfunctory sense of obligation to the tradition of the symphony-at-large. This modulation also takes place without any S- or H-lines. Approximately half the modulations throughout the War Symphonies take place without the help of such lines, but in this instance, the lack of a linear thread also results in a meandering, less teleological drive to the new key. As a result, the final two measures do not necessarily make a strong case for being interpreted as the true dramatic outcome of this work, if one is in search of a "bombastic" conclusion. Indeed, the coda's main thematic statement (Example 6.5) is a better representative of symphonism's transformational outcome than the less thematic clearing to F major in the final two measures of this work.

Even alongside considerations of sonata form, symphonism's local-level emphases on variation speak to the foregrounded variation process that we hear as listeners. While long-distance hearing and tonal closure should not be devalued, this movement's processual aspects do not require some sort of justification in terms of past formal archetypes, as merely extensions an older formal archetype. The kinetic energy of

H-lines, as emphasized in earlier chapters, comes to the fore in the melos, linearism, and developmental emphases of symphonism, tracing the ways Prokofiev moved beyond traditional structures while maintaining a diachronic dialogue with them. This may very well speak to his role not only as a composer of extended tonality, but as a Soviet artist engaging with new forms of musical expression.

Prokofiev's symphonism energizes the general outline provided by Asafiev with fluid motion through surprising harmonic shifts. He transforms ideas in terms of their pitch content as well as their texture, and maintains an organicism that makes use thematic outgrowth while introducing starkly different ideas. Prokofiev's music does not need symphonism to be appreciated for its exciting ability to take a melody through a transformational discourse. However, Asafiev's ideas can remind the Western analyst to go beyond preexisting formal approaches and connect energeticist principles to his musical language—without neglecting his role as a Soviet composer writing in an epic genre during a time of great military conflict. Certainly not "formalist" or "objective" in its reference to Western symphonic and sonata-rondo formal archetypes, this movement defers "the triumph of the human spirit" by ending with a new thematic outgrowth that cannot return to its opening state, instead anticipating a new state of equilibrium that will be fulfilled by the finale.

Epilogue

This dissertation draws from the three frameworks of linearity, virtual agency, and Asafievan symphonism. Linearity in Prokofiev's music finds a wealth of precedent in the work of Richard Bass (1988), Deborah Rifkin (2004 & 2006), Elliott Antokoletz (2014), and Daniel Harrison (2016). Each of these authors have helped lay a foundation that also shows how Prokofiev's music may employ surprising chromaticism on its surface, while remaining (usually) tonal at the middleground and background levels. Their work inspired me to take Prokofiev's particular form of extended tonality and focus on its melodic aspects. In so doing, S- and H-lines contribute to their harmonic focus on Prokofiev's works by showing how his tonal shifts are often supported by lines that may span a few measures or an entire thematic statement. Additionally, these lines may act as salient threads for the listener who may also attribute virtual, agential characteristics to linear motion through unusual harmonic environments.

Hatten's agential framework gives voice to these melodic gestures as musical events attributable to human-like movement. Virtuality speaks to the way in which many listeners experience and interpret music; a theory of virtual agency links this virtual environment with our own, physical one. Prokofiev's extended tonal realm opens up a gray area between the common-practice tradition and its dissolution in more atonal works. The musical forces that help explain our construction of a virtual musical environment may, as a result, undergo modifications that may weaken their ability to act on melodies (or at times enhance that ability).

Applied to Prokofiev's War Symphonies, linear gestures gain additional substance as arbiters of musical coherence. If viewed through the triadic, functional lens of the common-practice, these works balance abrupt or surprising progressions with vectored, linear melodies that usually begin and end in a more stable chord or key. Ascending melodies struggle to a greater degree in the War Symphonies than they might in a more diatonic context. Magnetism may not fully emerge (as a largely key-dependent force) until the last minute, as the line ends. An ambiguous gesture lying somewhere between a cadence and a harmonic simultaneity may weaken the sense of magnetism while at the same time lending the end-node sonority greater stability than its adjacent chords.

The inference of virtual agents as actors in a fictionalized narrative takes on new significance in this environment. "Achieving a goal" or failing to do so when, as I have suggested in my analysis of Symphony 5/iii and 6/ii, a cadence may be implied as a virtual goal, depends on other factors besides functional harmony. Prokofiev's surface-level harmonic progressions often move in a non-functional pattern; melodic motion, especially when it seems to move upward but falters in its ascent only to recover and climb higher, takes on an added significance as perhaps an active driver of musical motion, as opposed to a passive member of an overarching predominant-dominant-tonic progression.

The emerging dialogue between motives and their latter variations spur an interiorization of this conflict as a conversation among thematic iterations. This framing and subsequent reframing of a conflict motivates the emergence of a singular, virtual subjectivity with which a listener may identify. In the War Symphonies, the subjective

level of inference provides a link with Asafiev's symphonism in terms of both frameworks' emphasis on musical discourse. The opening gesture, theme, or premised conflict undergoes numerous disruptions that suggest the work's ability to "think out loud." This intra-movement conversation gives rise to ways in which Prokofiev's approach to form—however indicative of common-practice archetypes such as sonata form it may be—also functions as metaphor for inner dialogue, struggle, and resolution (or lack thereof).

Asafiev left symphonism as a broadly articulated, flexible, energeticist framework that can shift focus from more static common-practice norms. Symphonism encourages us to understand a musical unfolding in dialogical terms. As much as sonata form plays an obvious role in most movements from the War Symphonies, Asafiev's emphases show Prokofiev as a composer also capable of form-building on a smaller, more surface level. These variations on themes and motives prove exceptionally significant for the global trajectory of the work when they reframe the entire dialogue at the end, as found in the extensive linear passage during the coda of Symphony No. 5/iii. Not all works are as well suited to the discursive emphasis of symphonism as these two symphonies are. Prokofiev typically invokes sonata form only to alter its normative boundaries, while laying out a thematic level that continually evolves.

The War Symphonies were written during and after a world-wide conflict that took place not long after Prokofiev made the decision to return to the Soviet Union. They were his first attempts at writing a symphony in over a decade, after the previous two had received hostile critical reviews in the USSR. I argue that his use of linearity, modulation,

and thematic variation—as experienced through the frameworks of virtual agency and symphonism—speak to a specific way in which Prokofiev, like so many composers in this era, navigated between aspects of tradition while remaining innovative. In the early Soviet Union, maintaining this balance may have helped composers earn official acceptance of their works (Fanning 293, 298).

Prokofiev's music continues to receive close attention from theorists and musicologists for its unusual treatment of harmony and tonality. By focusing on his harmonic language's linear-agential motivations, and their contribution to a more dynamic conception of form, I have demonstrated one way listeners today can understand the coherence of Prokofiev's compositional practice in the War Symphonies. I have further examined Prokofiev's role as both a Soviet composer and an artist with actual agency, struggling with his place in Stalin's Soviet Union. Ultimately, however, Prokofiev's War Symphonies move beyond their historical context and claim a place in the repertory for their inherent compositional values.

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